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ENGAGEMENT MANAGEMENT: A CASE STUDY OF
THE CRITERIA AND PROCESSES USED TO
IDENTIFY, EVALUATE, AND COMMUNICATE PROGRAM EXPECTATIONS
FOR UNIVERSITY PARTNERSHIPS

A Dissertation
Presented to
the Faculty of the Morgridge College of Education
University of Denver

In Partial Fulfillment
of the Requirements for the Degree
Doctor of Philosophy

by
Frederick E. Powers
March 2015
Advisor: Dr. Ryan E. Gildersleeve

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Title: ENGAGEMENT MANAGEMENT: A CASE STUDY OF THE CRITERIA AND PROCESSES USED TO IDENTIFY, EVALUATE, AND COMMUNICATE PROGRAM EXPECTATIONS FOR UNIVERSITY PARTNERSHIPS

Advisor: Dr. Ryan E. Gildersleeve

Degree Date: March 2015

Abstract

Over the years, American public university outreach and engagement programs and activities have been defined and managed in many different ways and at varying levels within the institutions. Some universities clearly define complex outreach and engagement objectives and visions in their mission and throughout the fabric of the institution; while other university's outreach and engagement objectives and visions are less refined and not as evident to the casual observer (Bonnen, 1998). While much has been studied and developed in terms of establishing and managing a university's outreach activities, very little research has been conducted with respect to the social, procedural, and collective process of engagement—the two-way social interaction and consensus-building between academia and their external partners. More specifically, there appears to be a gap in the knowledge regarding the processes and criteria that university engagement staff use to identify, evaluate, and communicate program expectations (engagement management) that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.).

This instrumental case study examines one public, land-grant university outreach and engagement organization and the criteria and processes staff use to identify, evaluate, and communicate the program expectations (philosophical ideals, internal and external influences, costs and benefits, and potential alternatives) of planned engagement

activities or potential partnerships with external entities. One objective of this study is to examine how university engagement staff approach the process of building relations with potential partners that are external to the institution. A second objective is to examine the criteria and processes used by university engagement staff to establish program expectations for potential engagement activities and partnerships. Another objective of this study is to provide recommendations—based on best practices—with respect to how university engagement staff may build partnering relations by identifying, evaluating, communicating program expectations prior to establishing a formal partnership with entities external to the institution.

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Chapter 1: Introduction

In the past, those in academia have often viewed partnerships and university engagement activities—whether internal or external to the institution—with cautious optimism (Kreplin & Bolce; 1973; Neal, 1988). More recently, however, creative entrepreneurial alliances have provided many opportunities to explore new educational possibilities, improve the quality of existing programs, increase diversity, improve cost effectiveness, coordinate public relations, gain access to other regional resources and support, and further institutional stability (Buys & Bursnall, 2007; Gianneschi, 2007; Heath, 2012; M., 2011; Selsky & Parker, 2005).

Academic life is brilliant at erecting enclosures and less adept at finding ways of dismantling them. Borders play an important part in securing identity of purpose, but the university has to find ways of making its borders transitory and of transcending those that are in place. (Barnett, 2000, p. 107)

Weerts and Sandmann (2010) assert that

service and outreach are typically conceived as one-way approaches to delivering knowledge and service to the public, whereas engagement emphasizes a two-way approach in which institutions and community partners collaborate to develop and apply knowledge to address societal needs. (p. 632)

The National Coordinating Centre for Public Engagement (NCCPE) defines engagement as “a two-way process, involving interaction and listening, with the goal of generating mutual benefit” (NCCPE, 2013, para. 3). Interaction and listening during engagement with entities external to the university supports the process of relationship building.

The university's role or core function in today's society has been traditionally defined as a triad of teaching, research, and service (Altbach, Berdahl, & Gumpert, 1994; Bok, 1982; Bonnen, 1998; Veysey, 1965). More recently, Etzkowitz, Webster, Gebhardt, and Terra (2000) contend that in today's increasingly knowledge-based society, the university's role, in concert with industry and government, is a triad of teaching, research, and economic development. However, Bartel, Krasny, and Harrison (2003) emphasize that "over the last fifty years, we have seen a trend toward increasing emphasis on research, publication, and disciplinary specialization at universities, and away from teaching and the public sphere" (p. 90). The direction and focus of academic pursuits has not necessarily been at the whim and intellectual interest of the professoriate, but more a response to societal pressures. Societal pressures have motivated university staff to reexamine their commitments to the public and society at large and, in some cases, dedicate specific administrative resources (staff and funding) in very strategic ways to reach out and engage with external and internal entities to form entrepreneurial partnerships. The level and sophistication of outreach and engagement activities vary greatly from institution to institution.

Over the years, American public university outreach and engagement programs and activities have been defined and managed in many different ways and at varying levels within the institutions. Although public land-grant universities and community colleges have an inherent responsibility to interact and serve their communities, each institution defines its parameters and executes its role within its community in a different manner (Bonnen, 1998). Private, nonprofit, and for profit colleges and universities often define their outreach and engagement role within the community in much broader and

general terms. Some universities clearly define complex outreach and engagement objectives and visions in their mission and throughout the fabric of the institution, while other university's outreach and engagement objectives and visions are less refined and not as evident to the casual observer (Bonnen, 1998).

One objective of this study is to examine how university engagement staff approach the process of building relations with potential partners that are external to the institution. Another objective is to examine the criteria and processes used by university engagement staff to establish and manage program expectations for potential university engagement activities and partnerships. Another objective of this study is to provide recommendations, based on best practices, with respect to how university engagement staff may build and manage partnering relations by identifying, evaluating, and communicating program expectations prior to establishing a formal partnership with entities external to the institution. A search of the topic, developing program expectations, presents the reader with a host of web pages providing advice on how to develop program expectations for a variety of education and training programs. No significant information was discovered with respect to how university outreach staff strategically approach the process of developing and managing program expectations for an engagement activity or partnership with an external entity. Recognizing that engagement is a collaborative, two-way process, the intent of this study is to examine (a) how a prominent higher education institution systematically approaches the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations (engagement management) that support its

engagement activities with external entities (individuals, groups, organizations, businesses, etc.).

Statement of the Problem

Presently, there appears to be a substantial amount of research regarding how to plan and execute university outreach programs—a one-way process. Most research is focused on designing and executing outreach activities that support student recruitment, marketing, and research opportunities. Limited research has been conducted with respect to the social, procedural, and collective process of engagement—the two-way social interaction and consensus-building between academia and their external partners. More specifically, there appears to be a gap in the research and knowledge regarding the specific processes and criteria that university engagement staff use to identify, evaluate, and communicate comprehensive program expectations (engagement management) that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.).

Some processes and criteria for identifying, evaluating, and communicating program expectations are carefully crafted within the bureaucracy of the institution (e.g., mission, values, etc.). Many criteria and processes for identifying, evaluating, and communicating program expectations are specific to individuals or units within a university (e.g., determining influences, costs, benefits, and program alternatives). Some criteria and processes are formal and many are informal. Without an established framework for the criteria and processes to strategically develop external relations and manage program expectations for university partnerships, many institutions may overlook

or mismanage opportunities to expand their resources and the mission of the academy (teaching, research, and service).

As public institutions of higher education continue to expand their community outreach and engagement activities and services, it is important that staff have a systematic process of identifying, evaluating, and communicating its program expectations (or engagement management). Recommended guidelines should be established that provide university outreach and engagement staff with the criteria and processes needed to develop clear and comprehensive program expectations that support university engagement activities. These recommendations should be based on best practices that are used by today's public universities.

Why Study this Problem?

The role of the modern university has evolved over the past centuries—often adding new roles without relinquishing older roles (Bonnen, 1998). Initially established to support theological studies and vocational training for priests during medieval times, during the renaissance era (14th and 15th centuries), education for the societal elite became a significant part of the university. Over the years, universities have adopted to the needs of society, adjusting academic and research activities to support society's economic and technological needs. Agricultural, industrial, and scientific revolutions that entrenched U.S. society influenced the direction and focus of academia. However, as Bonnen (1998) states, "The university as a social organization resists and only slowly adopts new roles. The constraint of tradition on innovation explains much of the history of the university" (p. 26). Allen presents an analogy of a "broken bridge" between the

university and the community. This bridge needs to be repaired in order for both academia and the community to cross (Allen, Ramaley & Simon, 1996).

For the past few decades, internal and external influences (i.e., political, social, and economic pressures, institutional mission, etc.) have persuaded higher education institution leaders to rethink their views and opinions about the costs and benefits of engaging in shared ventures (Barnett, 2000). Stake (1995) stresses the development of issue questions to help the researcher frame his or her final hypotheses and research questions. How should today's university outreach and engagement staff strategically prepare for and approach the process of establishing partnerships and alliances with external entities? Does the traditional culture of four-year research universities encourage entrepreneurial partnering with external entities? How should university leaders assess the costs and benefits of engaging in external partnerships? Today's more progressive universities are establishing organizations and departments to tactically conduct outreach and engagement activities and services that identify potential partnerships and extend the university's resources, research, and teaching beyond the university (Michigan State University, 2012b; Penn State University, 2013; University of Colorado, Boulder, 2013). Collaborative partnerships range from small business incubators, economic development, service learning, civic engagement, and consulting services to research and community partnerships. As higher education leaders consider and engage in these entrepreneurial partnerships, it is important that they understand how to identify, evaluate, and communicate their internal and external resources, motivations, values, and beliefs; how the process of relationship building affects their efforts to identify collaborative possibilities and types; understand the dynamics of internal and

external influences; weigh the costs and benefits of reciprocal arrangements with other public and private organizations, groups, forums, and institutions; and establish rules for cooperative engagements, and the steps to establish and nurture entrepreneurial partnerships.

The engagement process involves building relations by identifying, evaluating, and communicating clear and concise program expectations and managing these expectations throughout the development and operation of the engagement activity or partnership (Bonnen, 1998). However, other issue questions are: How are staff who are involved with engagement and outreach activities currently identifying and evaluating their program expectations? And, what are the elements of a comprehensive list of program expectations? Potential elements may consist of philosophical ideals (values, mission, and priorities), anticipated program costs and benefits, influences that are external and internal to the institution, and viable program alternatives.

The tangible and intangible costs and benefits of partnerships between academia and universities will be examined in this study; however, it is hypothesized that to successfully build a partnering relationship with an entity external to the university, these elements of program expectations should be clearly identified, evaluated, and communicated with all members of a partnership throughout the planning, development, and implementation of a partnership. It is also imperative that university staff, before they begin the process of engagement and relationship building, self-reflect to identify and clearly understand many of these elements in advance, rather than think about and act upon them after the fact. Being prepared and managing a strategic approach to

engagement contributes toward the success of any venture between the academy and other entities external and internal to the institution.

Purpose of the Study

The purpose of this study is to gain a better understanding of (a) how a public, land-grant institution systematically approaches the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities (engagement management) with external entities (individuals, groups, organizations, businesses, etc.). Another way of stating the intent is to ask the question, *How does the staff at a public, land-grant university manage program expectations for their engagement activities with external partners?* This study primarily examines engagement activities that involve a two-way commitment of time and resources from all involved partners. Other than in grounded reference, this study does not delve deeply into the topic of university outreach (a one-way extension of the university). However, many recommendations may be applied to both outreach and engagement activities.

The intent of this study is to provide university staff who are involved in engagement activities with recommendations and best practices with respect to the criteria and processes used to identify, evaluate, and communicate program expectations during the development of a partnership or collaborative venture with an entity external to the institution. These processes are referred to as *engagement management*. Finally, part of this study examines how university engagement staff identify and evaluate the

tangible and intangible costs and benefits of potential university partnerships; however, this study does not delve into the specific process of risk analysis.

Definitions

For the purpose of this study, the following definitions have been established to provide the reader with a clear understanding of some of the common terms that are used throughout this document. Each definition contains a theoretical definition based on current literature, and an operational definition that provides context and parameters for this particular study. If required, further clarification of specific definitions are provided in the text of this document.

Engagement. “Intended to characterize the whole orientation of the university’s policy and practice” (Coldstream, 2003, p. 3) toward “strenuous, thoughtful, argumentative interaction with the non-university world” (Watson, 2003, p. 25). The University of California, Davis (2013) defines scholarly or academic engagement as “the process of actively partnering with the broader community to effectively apply and utilize the university’s knowledge, resources, and expertise to mutually address the needs and problems facing the global society” (para. 3). The terms *actively partnering* implying a mutually energetic and participating relationship between the higher education institution and its external partner. The Carnegie Foundation for the Advancement of Teaching (2013) defines the purpose of community engagement as:

The partnership of college and university knowledge and resources with those of the public and private sectors to enrich scholarship, research, and creative activity; enhance curriculum, teaching, and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address critical societal issues; and contribute to the public good. (Classification Definition)

Weerts and Sandmann (2010) define engagement as a “two-way approach in which institutions and community partners collaborate to develop and apply knowledge to address societal needs” (p. 632). Unlike public service or outreach that often require an inequitable commitment of resources, engagement involves a relatively equitable commitment of resources and shared benefits.

For the purpose of this study, engagement is defined as a formal, two-way activity involving the commitment of equitable time and resources from all parties involved with a partnership. Furthermore, an engagement activity (or partnership) involves mutual development and sharing of program expectations and benefits.

Expectation (or engagement) management. Expectation management can be loosely defined as

A formal process to continuously capture, document, and maintain the content, dependencies, and sureness of the expectations for persons participating in an interaction, and to apply the information to make the interaction successful. To a large extent, people declare that a project has either succeeded or failed based on whether it met their expectations. Few projects fail in an absolute sense—they simply fail to meet individual expectations. It is possible for a project to fail even if all of the original goals were met, simply based on someone's different perception. (Jargon database.com, 2013, para. 1)

Hamil (2005) defines expectation management as the “vision (or perception) of a future state or action, usually unstated but is critical to your success” (p.3). Hamil continues by asserting that expectations are a primary measure of success, and drive individuals’ actions and decisions.

Expectation management is an approach that allows the project management practitioner to assess the potential predictability of expectations throughout a project life cycle. Trending the possible changes, it necessarily follows that it must be possible to be more effective in shaping and influencing stakeholders’ expectations to a point where any variances between project performance

(outcome) and stakeholders' expectations are within acceptable limits. (Hamil, 2005, p. 3)

For the purpose of this study, expectation management (also referred to as engagement management) is defined as a process used by university engagement staff to identify, evaluate, and communicate the criteria and program expectations for entrepreneurial partnerships and engagement activities with entities that are external to the university.

External and internal entities. Oxford (2013) defines an entity as a “thing with distinct and independent existence” (para. 1). For the purpose of this study, external entities are those individuals and organizations outside the institution of higher education (external motivators) that may influence the formation of a partnership or are a member of a potential partnership (i.e., legislators, business leaders, business groups, community organizations, individuals, etc.). Internal entities are those elements within a higher education institution (internal motivators) that may influence an engagement activity or the formation of a partnership. Typically, they are a functional part or sub-unit of the university (faculty, staff, administrators, etc.), not necessarily the organization itself. Internal or external entities may influence and/or participate in identifying, evaluating, and communicating the criteria and program expectations for university engagement activities and partnerships with external entities.

Outreach. A one-way activity conducted by university staff that is usually intended as an extension of the institution for the benefit of the institution and society at large. Typically, outreach activities provide inequitable rewards and require an inequitable commitment of time and resources between participating affiliates or entities.

For example, conducting a summer camp for engineers may be considered an outreach or public service activity, whereas, the university may be actively committing resources and time to conduct the event that exposes and attracts potential engineering students to the campus. The benefit to the university may be additional qualified student applications. The benefit to the community may be exposure to the university engineering department and increased engineering awareness; however, community participation in the outreach activity may be generally passive.

For the purpose of this study, outreach is defined as activities that promote the programs and services of the institution, are conducted by representatives of the university, and are essentially for the benefit of the institution.

Outreach and engagement department. Michigan State University (2013a) defines the role of its Office of the Associate Provost for University Outreach and Engagement as aligning with the teaching, research, and service mission of the university. Its mission is to extend these services beyond the university environment and for the immediate and direct benefit of the public. For the purpose of this study, an outreach and engagement department is a team or organizational division within a university that oversees the planning, development, and execution of university outreach and engagement activities with external entities on behalf of the university.

Partnership. McLean and Behringer (2012) define a true partnership as “one in which each party contributes (or gives) to the partnership and receives (or gets) benefits from it” (para. 3). Oxford (2013) defines a partnership as an association of two or more people. For the purpose of this study, the term partnership is used to describe a formal or contractual relationship shared by mutual cooperation or responsibility between the

university and one or more external entity. An engagement activity may result in a formal partnership between the university and an external entity. Partnership is also referred to as an alliance, a cooperative or collaborative venture, or an entrepreneurial partnership.

Program expectations. The word expectation is derived from the Latin word *expectationem*, meaning “an awakening.” Expectation is also described as a belief or anticipation about what may happen in the future (Vocabulary.com, 2013, Dictionary.com, 2013). For the purpose of this study, program expectations are defined as a set of pre-established criteria that are used to determine anticipated outcomes, measure the success of an engagement activity, and to drive individuals’ actions and decisions. These criteria may consist of philosophical ideals, university mission and priorities, external and internal motivators and influences, anticipated costs and benefits, and program alternatives.

Research Questions

Contemporary researchers, such as Selsky and Parker (2005), divide models of institutional collaboration into three phases or stages: formation, implementation, and outcomes. Similarly, Sargent and Waters (2004) contend that there are four phases when engaging in a partnership: (a) the initiation phase, when the focus is on partner motivations or reasons for collaboration, and stakes (costs and benefits); (b) the clarification phase, when the scope of the project is determined and specific issues are clarified; (c) the implementation phase, when roles and responsibilities are identified; and (d) the completion phase, when partners evaluate the objective, subjective, and learned outcomes. This study will primarily concentrate on the first stage (the formation or

initiation stage) of an engagement activity between a four-year public land-grant higher education research university and organizations or businesses external to the university (external entity). During this first stage, social alliances and conditions are established, motivations, values, and incentives are evaluated, and the potential partnership is framed (Sargent & Waters, 2004; Selsky & Parker, 2005).

Primary research questions:

1. What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
2. What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

Significance of this Research

Today's university outreach and engagement organizations provide a wide range of outreach and engagement services for each institution, and enjoy an equally wide range of acceptance within the university. In addition, conflicting influences and perceptions have made the process of establishing unique partnerships between four-year higher education research institutions and community-based organizations and businesses a challenge to both entities (Buys & Bursnail, 2007; Neal, 1988). Although the costs and

benefits of partnerships have been identified and studied over the years (Glazier, 1982; Kezar, 2005; Konkel & Patterson, 1981; Selsky & Parker, 2005), this research explores the gap in knowledge about of how a segment of U.S. public universities use engagement management to support relationship building with potential partnering entities external to the academy. Furthermore, grounded in best practices, a framework will be established for higher education, business, and community leaders to understand the criteria and processes that are used by a sample of today's university outreach staff to identify, evaluate, and communicate its program expectations with external entities and potential partners. It is also essential to understand the role and importance of strategically building relations with external partners through effective management of program expectations that can support university engagement activities. Finally, through effective program expectation management (or engagement management), as well as having an understanding of the social and philosophical influences on the participants, managers of outreach and engagement organizations and university leaders will be able to effectively plan, organize, leverage, and utilize the resources of the university in collaboration with external partners for the benefit of all parties.

Overview of Dissertation

Chapter 2: Review of literature. The literature review begins with an examination of the history of university outreach and engagement, the types of partnerships that currently exist between universities and external entities, and some of the more common internal and external motivations and incentives. The second section examines the literature about the institutional challenges and the potential costs and benefits of institutional alliances and partnerships. The third section investigates two

social theoretical models (social exchange theory and rational choice theory) and what the literature indicates regarding the process of relationship building when forming alliances or partnerships between two individuals or groups.

The final section of the literature review focuses on analyzing the concept of how the effective management of program expectations supports the building of relationships during the process of university engagement. Relationship building was selected as a focus of the investigation not only because it is a critical element of successful partnerships, but also because it is hypothesized that sharing program expectations is an essential element in building relations with potential partners during engagement activities. The research examines and categorizes the fundamental criteria identified in the literature used by university engagement staff to identify, evaluate, and communicate its program expectations in support of its relationship building and engagement activities.

Chapter 3: Methodology and Data Collection. This chapter describes the research design including the setting and context of the research, the sample and data sources, research procedures, data collection processes, data analysis techniques and tools, the role of the researcher, and limitations.

Chapter 4: Findings and Discussion. The first section of chapter 4 provides a contextual overview of the evolution and organization of engagement and outreach at Michigan State University and its Office of the Associate Provost for University Outreach and Engagement. The second section addresses the primary research questions through the framework of engagement management (philosophical ideals, external and internal influences, costs and benefits, and program alternatives) and the secondary research questions comprehensively. The final section provides summary thoughts.

Chapter 5: Recommendations and Further Research. Chapter 5 begins by examining the findings under each of the four elements of engagement management (philosophical ideals, internal and external influences, costs and benefits, and program alternatives). The second section integrates the framework for engagement management to offer best practice recommendations for staff involved with university engagement activities. The third section provides observations and discussion, followed by suggestions for future research.

Chapter 2: Review of Literature

This literature review begins with an examination of the history of university outreach and engagement in the U.S., the types of partnerships that currently exist between universities and external entities, and some of the more common internal and external motivations and incentives. The second section describes the institutional challenges and the potential costs and benefits of institutional alliances and partnerships. The third section investigates two social theoretical models (social exchange theory and rational choice theory) and the process of relationship building when forming alliances or partnerships between two individuals or groups.

The final section of the literature review analyzes how the effective management of program expectations supports the building of relationships during the process of university engagement. Relationship building was selected as a focus of the investigation not only because it is a critical element of successful partnerships but also because it is hypothesized that sharing program expectations is an essential element in building relations with potential partners during engagement activities. The research examines and categorizes the fundamental criteria identified in the literature used by university engagement staff to identify, evaluate, and communicate its program expectations in support of its relationship building and engagement activities.

Introduction

Early researchers who studied cooperative practices of higher education institutions, such as Kreplin and Bolce (1973), defined inter-organizational collaboration as a "process which involves some form of exchange or sharing of information, values, prestige, facilities, staff, and/or status between members of two or more institutions" (p. 13). However, academia is generally not always structured to support shared approaches to learning, research, and organizational functioning. Departmental silos, bureaucratic hierarchical administrative units, unions, and other rigid structures act as barriers to cross-divisional work and partnerships (Greenberg, personal communication, January 16, 2012). Within this environment, partnerships struggle to emerge and be sustained with an over 50% rate of failure (Kezar, 2005). For the past few decades, higher education institution staff have examined and implemented more efficient and cost-effective ways to provide programs and services to their students, faculty, and administrative staff (Konkel & Patterson, 1981; Pelman, 2009; Schmidtlein, 1973). With the trend of funding support from state and federal governments dwindling, college and university staff are looking toward leveraging university resources and establishing creative partnerships and entrepreneurial endeavors with external entities to better stretch their limited dollars and maintain their competitive edge within the academic community (Heath, 2012; Lambert, 2012; Stanford, 2012, personal communications). The increase in joint ventures has resulted in varying degrees of acceptance by academia (Buy & Bursnall, 2007). Nevertheless, more institutions are beginning to employ high-level executives who conduct outreach activities by identifying potential business partnerships, fostering external relationships, and establishing entrepreneurial partnerships between the

university and peripheral external organizations (Greenberg, 2012; Lambert, 2012; Stanford, 2012, personal communications). Other universities are establishing administrative organizations dedicated to coordinating the institution's overall outreach and engagement activities.

Jassawalla and Sashittal (1998) define university partnerships as “the coming together of diverse interests and people to achieve a common purpose via interactions, information-sharing, and coordination activities” (p. 239). For the sake of this study, the terms *alliances*, *cooperative* or *collaborative ventures*, and *partnerships* are used interchangeably. These terms are used to describe a formal or contractual relationship shared by mutual cooperation or responsibility between two or more businesses or organizations. Coldstream's (2003) notion of engagement as “intended to characterize the whole orientation of the university's policy and practice” (p. 3) toward “strenuous, thoughtful, argumentative interaction with the non-university world” (Watson, 2003, p. 25) will be used to define partnerships. Internal entities (faculty, staff, administrators, etc.) are defined as those elements within a higher education institution (internal motivators) that may influence the formation of a partnership or be a functional part or sub-unit of the organization—not necessarily the organization itself. External entities are defined as those elements outside a higher education institution (external motivators) that may influence the formation of a partnership or are a member of a potential partnership (i.e., legislators, business leaders, business groups, community organizations, etc.).

It is the intent of this literature review is to first establish a context for university engagement by examining the history of university outreach and engagement in community colleges and private, nonprofit, and for profit higher education institution; the

types of partnerships that currently exist between universities and external entities; and some of the more common internal and external motivations and incentives. The literature review will further examine and categorize the types of typical business partnerships that have been established and the underlying motivations—external and internal to the universities—that influence the development and establishment of these partnerships.

The second section of the literature review will address secondary research question a: What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy? The research will examine what the literature indicates about the institutional challenges and the potential costs and benefits of university alliances and partnerships.

The third section of the literature review will address secondary research question b: What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)? The research will examine two social theoretical models (social exchange theory and rational choice theory) and what the literature discloses about the process of relationship building when forming alliances or partnerships between two individuals or groups. The research will provide an examination of social/behavioral theories and conceptual frameworks that account for the behaviors and attitudes that may emerge when university staff embark on an entrepreneurial partnership with external entities. Homan's social exchange theory (SET) contends relationships between individuals and/or organizations are established by the use of a subjective cost-benefit analysis and the consideration of alternatives. Rational

choice theory often presumes that the individual decision-making unit in question is ‘typical’ or ‘representative’ of some larger group such as buyers or sellers in a particular market. Once individual behavior is established, the analysis generally moves on to examine how individual choices interact to produce outcomes (Green, 2002, p. 4).

The final section of the literature review will address primary research questions 1 and 2: What criteria and processes do university engagement staff use to identify, evaluate, and communicate program expectations? The research will focus the examination on the concept of relationship building during the process of university engagement—a two-way process. Relationship building was selected as a focus of the investigation because it allows the researcher to examine how university staff actively establish and agree to elements of program expectations such as philosophical ideals (values, mission, and priorities, etc.) during the initial stages of a developing partnership. The research will investigate the traditional perceptions and elements of relationship building, the development of common social and philosophical ideals, and engagement management as they relate to internal and external influences and the cultivation and establishment of partnerships between four-year U.S. public universities and external entities. The intent is to provide a solid grounding and context for a framework as it supports the nurturing and development of partnerships, and examine relationship building as it relates to conducting university engagement activities.

A Brief History of University Engagement

One may assume that the history of collaborating and supporting relationships between academia and entities external to the campus (individuals, groups, businesses, etc.) begins with the establishment of U.S. land grant institutions. Early American

universities served to train and educated class of leaders. Walshok (1996) contends that over the past century, two major societal changes in America encouraged higher education to engage directly with communities to support these transformations. First, was the post-Civil War expansion westward and the focus on agricultural productivity. Second, was the beginning of the twentieth century to support an increasingly industrialized nation. On a personal note, I would add a third evolution—computers and technology—that began in the early 1970s and led to increase efforts to research and develop technologies that support communication, computing, and other technology-based industries. Walshok continues by asserting that by training and preparing students for the workforce, society in general is benefitting by providing companies, industry, and society with a more knowledgeable workforce.

Bonnen (1998) maintains that American universities have always been engaged in outreach in one way or another, whether through basic or applied research, or teaching courses that support the social fabric of society. Prior to the Morrill Act of 1862, early educational leaders such as Seaman Knapp were establishing experimental agricultural research stations to study improved farming methods and disseminate sound agricultural practices to farmers. The Morrill Act of 1862 established land-grant colleges primarily focused on agriculture and the mechanic arts. Bonnen surmises that the “land grant tradition introduced ‘service to society’ as a function of U.S. higher education” (p. 25). The Hatch Act of 1887 provided funds to land-grant institutions to create agricultural experiment stations. In 1890, a second Hatch Act was passed that created Black land-grant institutions. The Smith-Lever Act of 1914 established the Cooperative Extension Service, that provides matching federal and state funds for cooperative extension

activities supporting agriculture, food and nutrition education, farm safety, pest management, and support for children, youth, and families at risk to name a few.

Community colleges and engagement. The phenomenon of community colleges began in the early twentieth century as an American form of higher education. Early in the twentieth century, for economic and pragmatic reasons, the president of Baylor University, Reverend J. M. Carroll, proposed that smaller colleges in Texas and Louisiana restrict their curriculum to the first two years of college and that the larger colleges provide the curriculum for the third and fourth years. This event served as the impetus for the junior college—a college that prepared students for university-level studies (education.stateuniversity.com, 2013). Community colleges have also been referred to as junior colleges, technical colleges, and technical institutes. In the past one hundred years, community colleges have provided an array of educational programs and services to include one- and two-year vocational, technical, and pre-professional certificates, six-month and two-year degrees, and associates degrees (education.stateuniversity.com, 2013). Geller (2001) describes community colleges evolving through five generations since 1900; an extension of secondary school generation, the junior college generation, the community college generation, the comprehensive community college generation, and the final generation between 1985 and 1999 that currently has no name. Geller also suggests the emergence of a sixth generation from 1999 through present that he describes as the learning community college generation.

Vaughn (2006) suggests the mission of the contemporary community college is “to provide access to postsecondary educational programs and services that lead to

stronger, more vital communities” (p. 3). The ties from the junior college to its community have always been strong and vibrant. Vaughn emphasizes that it is no accident that the word community is part of the community college’s name. In 1947, the President’s Commission on Higher Education (the Truman Commission) termed the title community college referring to “the institution designed to serve chiefly local community educational needs. It may have various forms of organization and may have curricula of various lengths. Its dominant feature is its intimate relations to the life of the community it serves” (President’s Commission on Higher Education, 1947, p. 3). Each community college is designed to serve the needs of a designated geographical area. By doing so, its services are diverse and change over time in response to its surrounding community’s emergent needs.

Private, nonprofit, and for profit higher education institutions and engagement. Similar to community colleges, private, nonprofit, and for profit college and university engagement activities are geared toward outreach and target student recruitment as the primary focus of their activities. The College of Marin’s Outreach Department (2014) “builds and nurtures relationships with public high schools in and outside of Marin County. . .” (About Us, Para. 2). The Commission on Independent Colleges and Universities (2012) provides a list of outreach activities for all independent colleges and universities in New York State to include formal camps, institutes, workshops, and enrichment programs as the focus of their outreach and public service activities. However, the report did not examine other engagement activities that the colleges conduct to assess community needs and educational requirements. Furthermore, it did not list engagement activities that explored institutional partnerships with

associations, businesses, and industries. For example, Skidmore College listed a Jazz Institute, a Music Institute, and a Summer Pre-College Program in the Liberal and Studio Arts. Alfred University offers Consumer Chemistry Camp, Creative Writing Camp, Elementary Engineering Day Camps, and Robotics Engineering Camp to name a few. Most independent colleges and universities in New York State offer some variation of a pre-college program that introduces high school students to college life. In addition, most of these programs and activities fall within the category of student recruitment.

Public and land-grant universities and engagement. Hrabowski and Weidemann (2004) stress the ever-changing technological, demographic, and economic environment that presents enormous challenges to the nation for “educating students, growing the economy, and responding to society’s needs” (p. 16). The authors continue by exerting that colleges and universities play a critical role in this process and should serve as agents of change—each providing a tailored and specifically defined approach to its outreach and engagement efforts depending on the needs of its community and constituents.

While land-grant universities have long focused on outreach and engagement because of their special missions, it is now evident that many institutions are turning their attention to the importance of engagement, entrepreneurship, and partnerships. . . . It is critical to note, however, that engagement is not simply entrepreneurship or seeking new revenues; rather, engagement is yet another opportunity for higher education to fulfill its social compact with the public. (Hrabowski & Weidemann, 2004, pp. 18-19)

In a report by the Kellogg Commission on the Future of State and Land-Grant Universities (1999), the commission identified seven guiding characteristics of an engaged university—responsiveness, respect for partners, academic neutrality, integrating engagement into the institutional mission, accessibility, coordination, and resource

adequacy. The report continues by stressing that engagement is more than extension. Engagement involves using a diversity of approaches to infuse service and outreach into the fabric of teaching and the curriculum, actively defining its community, and holding academia accountable for outreach efforts. It also suggests establishing incentives for staff and faculty contributions toward engagement.

Types of Partnerships in Higher Education

Today's higher education institutions are being redefined and confronted with new and diverse challenges that often relate to changing national and international political structures, the environment, technology, and socioeconomic conditions to name a few. This redefinition of higher education requires institutions to look outward for resources, expertise, and support systems. Furthermore, external mandates from legislatures and governing bodies are also requiring institutions to partner with other agencies, businesses, and private organizations to leverage funding, resources, and expertise (Aka, 2012).

There are many types of partnerships that currently exist between universities and external entities on a local, national, and international basis. Higher education institutions are looking internationally to form entrepreneurial academic partnerships between universities and overseas organizations or other colleges and universities. These efforts have led to creative agreements for student exchanges, research and development, technology transfer, and articulation agreements to name a few.

Research partnerships and consortia with industry and government. Powers, Powers, Betz, and Aslanian (1988) describe academia and industry as unlikely partners because of their traditional attitudes toward the discovery of knowledge. "Traditionally,

higher education has sought knowledge as an end in itself, whereas business has operated under the profit motive” (p. 3). Businesses tend to prefer product-oriented or applied research, whereas higher education tends to prefer basic over applied research. Members of academia are inclined to publish their results whereas businesses are inclined not to make the research results public until patent applications have been filed (Powers, et al., 1998; H. Lambert, personal communication, January 31, 2012). However, more recently, academia “seems to be rapidly shedding its ivory tower image” (Powers, et al., 1998, p. 76) and developing technology transfer programs and collaborative programs with government and industry partners. A prime example is the development and evolution of research/industrial parks and business incubator centers. In 1951, Stanford University established the first prototype research park. It now resides on 660 acres and houses over eighty companies. Governors, land developers, and university leaders in the state of North Carolina established the Research Triangle Park. Since that time they have added to the complex by including a science and technology park and the Microelectronics Center. Research consortia began to flourish during the 1980s following the relaxation of prohibitive antitrust laws (Powers, et al., 1988). Today, most large research universities have some sort of university-industry partnership arrangement. Samples of the services arranged and provided by these partnerships include technical assistance and consulting, technology transfer, incubator centers, small business training, resource sharing, and research and development.

Transfer credit articulations. Most transfer credit articulation agreements are established between two-year colleges (community colleges) and a four-year institution. In many cases, comprehensive articulation agreements govern the statewide transfer of

credits between all community colleges and four-year institutions within the state. In 1995, North Carolina's legislature passed legislation requiring the University of North Carolina Board of Governors and the State Board of Community Colleges to "implement common course descriptions for all community college programs, . . ." and "develop a plan that ensures accurate and accessible academic counseling for students considering transfer between community colleges and between community colleges and the constituent institutions of The University of North Carolina" (Board of Governors of The University of North Carolina and the State Board of the North Carolina Community College System, 2008, p. 3). The comprehensive articulation agreement encompasses all fifty-eight community colleges and the sixteen constituent institutions in The University of North Carolina system. Most states have adopted similar agreements in an effort to encourage continuation from a two-year college to a four-year institution with minimal loss of college credit.

Service contracts and resource partnerships. Universities establish multiple types of service agreements between higher education institutions (i.e., interlibrary loan services) and external entities (i.e., maintenance and purchasing agreements). Universities partner with other universities and organizations to conserve funds (economy of scale) and occasionally to avoid cumbersome procurement regulations (H. Lambert, personal communication, January 31, 2012). Institutions that establish service agreements with external entities typically employ a professional service agreement template. The service agreement template establishes terms for responsibilities, compensation, ownership, confidentiality, insurance, indemnification, compliance with laws, nondiscrimination, and severability to name a few (Temple University, 2012). The

University of Connecticut (2006) established a service agreement with the New England Water and Utility Service that created an on-site Water Systems Manager to oversee the water infrastructure for the campus. Many similar agreements are established to build and maintain the infrastructure of the campus. However, unlike voluntary partnerships, these agreements are often regulated by federal, state, and local regulations with respect to competitive bidding and other business rules and practices.

Community and advocacy partnerships. More recently, colleges and universities have included a statement about supporting the community in their mission statements. In 1999, the *Presidents' Declaration on the Civic Responsibility of Higher Education* was established and signed. To date, 565 college and university presidents have signed the declaration. The purpose of the statement is to “articulate the commitment of all sectors of higher education—public and private, two- and four-year—to their civic purposes” (Campus Contract, 2009, About the Declaration). As these compacts are established, universities are being encouraged to engage and partner with their communities in an effort to fulfill their civic responsibilities.

Service learning partnerships. Service learning programs are collaborative experiential efforts that promote academic learning. Projects are directly linked to the academic curriculum and typically faculty develop a service learning project in collaboration with local community businesses or government organizations. Many universities have established specific offices that coordinate the institution's service learning activities. These offices conduct activities such as:

- Conducts on-going assessments of community need;

- Works with community agencies to develop projects and internships for service-learning students;
- Assists faculty with design and implementation of service-learning courses;
- Matches student skill sets to community needs;
- Assists students with meaningful and fulfilling service placement according to their interests, time availability, as well as personal and professional goals;
- Monitors student progress and problem solves if issues arise;
- Advocates student needs at placement site to ensure a successful service experience;
- Helps faculty and community agencies evaluate student service;
- Helps students evaluate their placement sites to continually improve service experiences for both students and sites; [and]
- Circulates volunteer/internship opportunities, as well as community needs, on a campus-wide basis (University of Missouri, 2012, Office of Service-Learning Support).

International partnerships. Potential activities that universities could benefit from when engaged in an international partnership include the establishment of branch campuses, collaborative research, student and faculty exchanges, administrative exchange, joint or dual degrees, faculty development activities, affiliate faculty, and building international multi-institutional networks (Lacy, 2011). Advantages of these international partnerships include exposing students and faculty to the global economy and a multicultural world, potentially generating new revenues for the institution, enhancement of research and research opportunities, and promoting a mutual

understanding between cultures and partner institutions (Lacy, 2011). Lacy (2011) identifies some potential issues of concern from language and cultural differences, resources commitments, and legal issues (liability, intellectual property, etc.) to health and safety issues and educational quality and standards.

Motivations and Incentives—Internal and External Influences

Policymakers at the local, state, and federal level have designed a number of incentives and programs to encourage university engagement. These incentives range from grants to land purchasing arrangements and influence academia to look outside its campus to partner with external entities to expand its resources. The U.S. Department of Housing and Urban Development (HUD) has established an Office of University Partnerships (OUP). OUP “facilitates the formation of campus-community partnerships that enable students, faculty, and neighborhood organizations to work together to revitalize the economy, generate jobs, and rebuild healthy communities” (U.S. Department of Housing and Urban Development, 2012, Welcome). OUP provides 2- to 3-year grants of up to \$400,000 to colleges and universities to operate community outreach partnership centers. These centers provide applied research to urban problems for local housing, infrastructure, economic development, neighborhood revitalization, health care, crime, or planning within a targeted community. Since 2006, the Corporation for National and Community Service has annually selected colleges and universities for its President’s Higher Education Community Service Honor Role. This award recognizes academia for the “role colleges and universities play in solving community problems and placing more students on a lifelong path of civic engagement by recognizing institutions that achieve meaningful, measureable outcomes in the

communities they serve” (Corporation for National and Community Service, 2012, para. 1).

The Milwaukee County Board established a 175-acre research park in Wauwatosa, Wisconsin to attract technology-based companies to the area and spurn economic development. Four major universities are partnering with the effort to provide access to faculty, students, laboratories, libraries, and specialized equipment. This win-win effort has increased economic development for the region and provided the universities with a new source of revenue as well as exposed students and faculty to new research and academic opportunities (Milwaukee County Research Park, 2012).

Challenges for University Outreach and Engagement

Faculty incentives. Along with the duties of teaching, scholarship, (particularly at a research institution) and other administrative responsibilities (e.g., student advising, program management, etc.), faculty are now being tasked to increase their outreach and engagement (public service) responsibilities and activities. However, without some sort of incentive, this activity may often be shifted to a lower priority. Tenure and promotion decisions are frequently based on involvement in nationally recognized activities and less on state and regional engagement (Bonnen, 1998). Furthermore, Nyden (2003) asserts that the tenure and promotion traditions favor the production of peer reviewed articles, grants, and papers presented with little emphasis on the faculty’s impact on the local or regional community. Other barriers include research priorities aimed toward the researcher’s discipline and the perception that community-based research is political, biased, and often parochial (Nyden, 2003).

Votruba (1978) describes traditional approaches to establishing faculty incentive programs for outreach including creating a separate reward system outside of the faculty promotion and tenure system, establishing a separate college of continuing education, and hiring part-time faculty outside the full-time faculty cadre to staff the continuing education and evening divisions—thus controlling the rewards and incentives outside the traditional established promotion and tenure system. Votruba contends that creating a separate reward system can have some advantages, but also some serious disadvantages. First, it can be considered a subordinate reward system to the traditional promotion and tenure system. Subsequently, faculty that fail in the traditional reward system may retreat to the subordinate system as a last resort leaving a perceived notion that the continuing education system is for mediocre faculty. Secondly, separating the continuing education division from the central academic activities further isolates the continuing education division and public service from the traditional mission of the institution. Lastly, having a separate reward system as continuing education division may formally allow the traditional faculty to eliminate continuing education and outreach from their activities—relegating it to the continuing education division. O’Meara (2003) asserts that the “discipline influences faculty involvement in the scholarship of application/involvement” (p. 201). The perceived notion is that teaching and scholarship are part of the traditional mission of the institution and full-time tenure or tenure-track faculty; and outreach and public service fall within the auspices of the continuing education division (non-tenure track faculty) (Votruba, 1978). Votruba suggests that teaching and scholarship are the primary function of the university and that “continuing education and public service are defined as outreach forms of these two functions rather than as a third separate and

conceptually distinct category of professional activity” (p. 641). Votruba also suggests a number of strategies to increase the incentives and rewards of university outreach and engagement. These strategies include creating and locating the outreach unit close to the Chief Academic Office of the institution; strengthening and broadening policies related to rewards for faculty involvement in outreach; nurturing relationships and links between outreach staff and academic units within the college or university; establishing clear guidelines for quality outreach activities; recognizing and documenting quality outreach activities; and relating outreach goals and activities to the goals of the faculty members and the institution.

The University of Minnesota (2013) initiated a pilot program to provide incentives for faculty to advance teaching, research, and outreach to support the university goals as well as the overall mission of the institution. Its program promotes financial incentives (salary, funding to attend meetings, one-time lump sum payments, professional development, and teaching/research assistant support) and non-financial incentives (leave of absence, interdisciplinary research opportunities, etc.). However, it does not provide clear guidance as to how the incentives or faculty activities will be assessed or distributed. A Project Team was assigned to investigate a number of options for the rollout of this program. Interestingly, the Project Team did not appear to have any faculty representatives.

Funding and resources. The availability of funding and resources is always a contentious issue when it comes to sponsoring or supporting any new venture. There are certainly many various costs attributed to maintaining an active and effective institutional outreach and engagement program. From a practical perspective, in today’s competitive

environment, the returns must be comparable to the outlay of resources—return on investment (ROI). The ROI can take many tangible forms from funding and investments to additional resources for the institution. There are also intangible returns such as political advocacy, public relations and awareness, and intellectual exchange. Walshok (1996) illustrates an example of public and private sources of funding to support outreach efforts. Local, state, and federal allocations as well as public agency contracts and grants are a source of public funding. Private funding sources include individual, corporate, and foundation's gifts and contributions as well as special purpose alliances, joint ventures, strategic partnerships, and consortia. Other private funding sources include exclusive-use rights such as franchising and licensing. Walshok also identifies fees for direct service as a source of funding. These would include the collection of fees for technical assistance, consulting, contract research, organizational training (and needs assessments), and technology networks and services.

Organizations that provide grants for research and development often favor collaborative proposals when assessing whether to award a grant. The National Science Foundation provides specific award conditions that support collaboration between educational institutions and external partners (e.g., Federal Demonstration Partnerships). Interestingly, there appears to be an increase in the availability of grants that encourage international partnerships. The National Organization of Research Development Professionals provides a comprehensive list of federally sponsored grants that encourage creative partnerships from its applicants.

A variety of funding is available to support ventures that may be inter-departmental, inter-institutional, university/community, public/private and a wide

diversity of collaborations that are a result of university outreach and engagement activities. The challenge is to be proactive, strategic, and creative in the pursuit of outreach and engagement activities and, furthermore, there are competing entities—internally and externally—for the same resources.

Reciprocity with the community. The general perception of the university as an “Ivory Tower” remains a challenge for the development collaborative ventures between a higher education institution and local and national external entities (Bok, 1982; White, 2000). Bok (1982) surmises that the fact that most higher education institutions are exempt from property taxes and this favored status has often led to strained relations between town and gown. However, those universities that are located in a small town tend to dominate the local economy. Placed in a large city, universities are often caught up in the economic and social stresses that are ingrained in their community. “In a city or town, the culture of the university—with its bohemian lifestyles and youthful exuberance—is often an irritant, as well as a source of pride, to the surrounding community” (Bok, 1982, p. 217). The fact that universities provide education to local residents and generate a substantial amount of economic activity in the form of sales and income tax is often overlooked.

Even what may appear to be an honorable attempt by a university to work with its community and provide a service may be considered a threat by others. For example, a project to establish a neighborhood health clinic within a community may be lauded by grass-roots supporters, but heavily opposed by local physicians. A university may provide greatly needed expertise that could determine the success of an urban development venture; however, these types of initiatives may present a great risk to the

institution. It may be hazardous to have a university speaker present on behalf of the community. Small dissenting groups often have the means to legally tie up projects between “City Hall” and a university (Bok, 1982). Other initiatives that may require a substantial ongoing commitment of resources and time by the university may result in very little academic benefit to the institution. Institutions of higher education are subsequently cautious about how they are represented within the community and the level of commitment they provide to ventures outside the academy. On one hand, what may be an attempt by university staff to take a back seat or secondary role in a partnership with a community entity—particularly those ventures with strong political overtones—may be perceived by some as pretentious and defiant. On the other hand, university staff who may take a strong stance on an initiative may be perceived as thrusting the university’s agenda on the community.

There may be a fine balance of diplomacy required to engage with the community. It is important that both parties benefit from any type of outreach or engagement activity. Institutional staff need to weigh the benefits and risks of any joint venture between the academy and an external entity. All parties must recognize that any venture must benefit all parties. Universities, like any other business or organization, cannot afford to expend too many resources on activities that do not provide some sort of return.

Institutional autonomy and external engagement. In 1988, Rectors of European Universities gathered to create the Magna Charta Universitatum “looking forward to far-reaching co-operation between all European nations and believing that peoples and States should become more than ever aware of the part that universities will

be called upon to play in a changing and increasingly international society” (Preamble, p.

1). One of its fundamental principles is,

The university is an autonomous institution at the heart of societies differently organized because of geography and historical heritage; it produces, examines, appraises and hands down culture by research and teaching. To meet the needs of the world around it, its research and teaching must be morally and intellectually independent of all political authority and intellectually independent of all political authority and economic power. (Fundamental Principles, p. 2)

Maton (2005) employs two institutional-level terms to describe autonomy—

positional autonomy and relational autonomy. Positional autonomy refers to the question

“Who is running higher education?” Relational autonomy answers the question

“According to whose principles?” (Maton, 2005, p. 697). Maton argues that positional

autonomy remains securely in the hands of higher education institutions; however,

relational autonomy has been weakened by the “marketization of education and the

importation of corporate management practices” (Burnheim, 2007, p. 12). Burnheim

contends that a university’s engagement with external entities may be perceived as

weakening an institution’s positional and relational autonomy. In a survey conducted by

Iowa State University (Holtz-Clause, et al., 2011), researchers representing its extension

and outreach organization surveyed the faculty and determined that faculty felt they had

autonomy and control over (a) expressing ideas and positions about their work, (b) their

time at work, and (c) making decisions about their work. However, external entities

diminished their autonomy and control over budget allocations and operational strategies.

One could possibly argue that additional partnerships and engagement with external

entities could potentially reduce faculty and institutional autonomy. Although

maintaining institutional autonomy provides the university with certain protections from

external political and societal pressures and influences, more recently the subject of accountability to its public constituents has questioned the intent of institutional autonomy (Nybom, 2007).

Costs and Benefits of University Engagement

Internal and external influences are directly related to the perceived costs and benefits of university engagement. Potential costs that must be considered when examining a prospective partnership include faculty resistance; loss of quality control, program authority, and evaluation; influence and control of policies and procedures; and the loss of student and faculty resources and funding. Benefits of an engaged partnership must also be considered and weighed against the costs. Benefits of establishing a partnership include expanded educational opportunities; an ability to efficiently extend and expand resources (economy of resources); the expansion of educational diversity; and improved public relations and external funding. The following sections examine these perceived internal and external influences as related to the costs and benefits of partnerships between universities and external entities in further detail.

The costs of university engagement. Jordan (2007) and Gianneschi (2007) describe many internal obstacles that influence the direction of the effort or prevented collaboration or centralization of resources. Some obstacles include faculty resistance, quality control and evaluation, the development of policies and procedures, program authority, funding, and the availability of student and faculty resources. Greenberg¹

¹ A complete list of personal communications is attached at the end of this document.

(2012) expressed institutional silos as being one of the barriers that prevent or hinder the development of partnerships.

Furthermore, typically universities are slow at changing. This is not a bad thing, and, as a matter of fact, it's probably a good thing. It is a protection against groupthink. Also, there are currently no built-in incentives for institutions to seek or enter into collaborative partnerships with other entities. It is imperative that the institutions provide incentives for these types of ventures (D. Greenberg, personal communication, January 16, 2012).

McKeever also mentioned that the nature of higher education institutions is that they typically work in silos. This leads to a lot of misunderstandings and miscommunications. In addition, just the bureaucracy itself can hinder the progress of establishing partnerships. It is important to provide clear and concise communications to the entire workforce with respect to the intent of the partnership as well as the costs and benefits up front (M. McKeever, personal communication, December 23, 2011). Over 30 years earlier, Murray (n.d.) described similar areas that often limit engagement activities:

Individualistic staff members, institutional autonomy, distances between institutions, the individuality of administrators, influences of boards of trustees, variations on the quality of performance in institutions, complications arising from the source of support, amount and kinds of vested interests, and size of projects to be undertaken . . . are such reasons. (as cited in Kreplin & Bolce, 1973, p. 31)

These barriers will often create a sense of cautious hesitancy among the potential partners and during the preliminary stages of a collaborative endeavor, "institutions go through a 'feeling out' process to ascertain whether or not cooperation is feasible and/or

desirable and to attempt to establish some basis for cooperation" (Kreplin & Bolce, 1973, p. 41).

Faculty and staff resistance. The statement that habits are difficult to change endures over the years in the ranks of higher education's conventional faculty and staff. For many years, faculty have enjoyed the convenience and comfort of working—much at their own pace and direction—within the security and confines of a large institution. Collaborations with other entities often posed an eminent threat to their security and perceived quality and control over the direction of their endeavors. "Faculty often feel that collaboration will lead to a deterioration of control of their resources and/or the direction of their research" (M. Gianneschi, personal communication, October 15, 2007). "Many faculty members, jealous of their time and typically resentful of committee obligations—or meetings of any kind—may feel that cooperating is simply more trouble than it's worth" (Pritzen, 1988, p. 42). Some questions, then, when considering whether or not to participate in a university engagement activity are: How much faculty buy-in does the enterprise require? Should the faculty be involved in the negotiations? Do the faculty feel that the benefits of the venture are great enough to relinquish a certain portion of their autonomy, authority, and resources?

There is often a clash of culture between the old faculty and the newer faculty. Older faculty tend to be a bit more set in their ways and the younger faculty tend to be a little more accepting of new ideas and initiatives. For example, the younger faculties are more willing to move around from campus to campus to teach their courses where older faculties tend to stay in one place. Younger faculties are also more accepting and willing to incorporate new technologies into their teaching pedagogy. (S.M. Jordan, personal communication, September 27, 2007)

Johnson (1988) wrote that faculty (and administrators) may also feel that a collaborative venture invades their turf. Turf may be described as geographical (a county or region of the state), an academic discipline (e.g., professional school), or a category of students (i.e., hearing impaired or level of ability). Fundamentally, partnerships and entrepreneurial ventures run against the grain of most university's faculty. The public risk is too high and they have very little experience in developing sophisticated partnerships. Also, the lawyers within the institution do not encourage a lot of partnerships because it involves some kind of risk. The lawyers tend to avoid putting the institution at any type of risk. Instead, they tend to be overly cautious and discourage activities out of the norm. (H. Lambert, personal communication, January 31, 2012)

Quality control, program authority, and evaluation. Faculty, staff, and students of higher education pride themselves for the academic excellence and unique characteristics of their institution. External or even internal collaborative ventures are perceived as potentially affecting the minimum standards of quality. The external credibility of a university depends heavily on the rigor of its internal monitoring (H. Lambert, personal communication, January 31, 2012). Consortia are frequently perceived as influencing the internal monitoring of an institution's programs and resources; thus, collaborative endeavors are often viewed with cautious skepticism. By sharing program authority and evaluations with other institutions or organizations, university faculty may feel they are losing their ability to regulate instructional and curriculum quality (M. Gianneschi, personal communication, October 15, 2007).

Policies and procedures. In most cases, each institution develops its own policies and procedures that establish minimum standards of operation and program distinction.

Occasionally external agencies such as accrediting agencies or legislators influence policy development, but university leaders typically resist any attempt by outside authorities to influence the development of institutional policies. When examining whether or not to engage in a voluntary collaborative undertaking, institutions will carefully analyze how the proposed relationship affects their current policies and procedures. "Will the new partnership alter our current policies, and, if so, will it benefit or cost the institution some of its program or resource authority" (S.M. Jordan, personal communication, September 27, 2007)? In many cases, particularly at a community college or public university, policy statements supporting close community partnerships are embedded in the institution's mission and governing documents. Over the past decade or so, more institutions are adding these statements to their institutional mission objectives as they seek creative alternatives to supplement their resources (H. Lambert, personal communication, January 31, 2012).

Student and faculty resources and funding. With higher education institutions becoming increasingly more squeezed for funds and resources, institutions will carefully measure the balance of benefits before they engage in a partnership. "What resources must we give up? What resources will we gain? Will all institutions benefit equally? Will an institution perceive it is being compensated for its losses" (S.M. Jordan, personal communication, September 27, 2007)? Institutional staff will carefully consider whether a collaborative relationship will be a drain on their resources. When assessing the costs of a partnership, McKeever indicated that he and his colleagues determine whether the new area or partnership will spread the institution too thin or whether the institution has the resources to support the initiative. Furthermore, does the initiative fall within the

mission of the institution? Again, in certain instances, it is determined that involvement in an initiative of partnership is sometimes less tangible and more symbolic by nature (M. McKeever, personal communication, December 23, 2011).

The current level of internal and external economic stress will influence whether an institution is willing to share its resources with another organization. An institution fighting for survival is more likely to share its resources readily than an institution that is economically and more politically stable (Heath, 2012; McKeever, 2011; Stanford, 2011). In 1973, Schmidtlein noted that organizations often weigh the more primary factors of money, faculty, and staff (as well as economic goods and services) higher, and frequently overlook less obvious factors such as legitimacy and access to critical information. Even in 1982, Glazer wrote that "There are few incentives for strong graduate schools to share resources with weaker ones. The rationale for sustaining mediocre or marginal programs is difficult to defend now that the Ph. D. labor market has softened" (p. 188).

The benefits of university engagement. Albeit economies can be made through combined services and improved efficiencies, the mere spending of less money is not the primary benefit (S.M. Jordan, personal communication, September 27, 2007). Measuring the costs and benefits of community engagement in higher education has always been considered an art rather than a science (M. McKeever, personal communication, December 23, 2011). Wood noted that,

because of the problems concerning accurate cost-benefit analysis of [inter-organizational] arrangements, benefits tend to be measured not in terms of specific benefits against the costs of specific projects, but rather in their cumulative effect upon the well-being and attractiveness of the participating institutions. (as cited in Kreplin & Bolce, 1973, p. 24)

Educational opportunities. Institutions will often look at an engagement activity as a way to expand and enhance educational opportunities for their faculty, staff, and students (S.M. Jordan, personal communication, September 27, 2007). Collaborative relationships can be developed in such areas as common curriculum development and implementation, faculty exchange, research and information, faculty development, internships, traveling scholars, conferences and seminars, and publications.

Early researchers such as Patterson (1974) noted that, although academic collaboration is somewhat difficult to implement, faculty may feel more comfortable allowing a consortium to facilitate an evaluation program. Nelson contended that "[faculty] who often feel threatened by a program that evaluates and seeks to improve teaching on a home campus may be much more willing to take advantage of a consortium-sponsored program" (as cited in Patterson, 1974, p. 36). As early as 1967, Johnson commented that faculty benefited from cooperation with colleagues from other institutions.

A small college can have some of the advantages of a large university without abandoning its small size. A large university can avoid having small programs everywhere and it can share in a gigantic, specialized outside task without having to lose all of its own specialists or distort its internal commitments. Professors in a particular discipline can gain from participation in a community of like-minded scholars enlarged enough to be self-defeating. In other words, one of the potentialities is the capacity to develop the required 'critical mass' for professional stimulation for attacking common problems, and for opening complex and costly programs. (p. 344)

Lambert (2012) described numerous entrepreneurial opportunities that have been developed through collaborative ventures at Colorado State University. A Regional Bio-

containment Laboratory, a partnership with INTO² that recruits underrepresented foreign students, and a tri-university partnership that promotes high technology transfer are a few examples of how Colorado State University is creatively engaging in partnerships between the institution and external organizations (businesses and other universities) to expand its educational opportunities and resources (H. Lambert, personal communication, January 31, 2012).

Economy of resources. Facility, library resources, laboratories, and resource centers are a few operations that institutions may combine to enhance and provide an economy of resources. Larger, more prestigious institutions may feel little obligation to get involved with what they perceive to be lesser institutions. On the other hand, they may feel that by collaborating in physical resources and goods and services, their political status may be enhanced. Smaller, less equipped institutions will benefit greatly from their access to a larger institution's resources. For example, an institution with smaller library holdings or access to online resources may profit more from a collaborative library arrangement than an institution with vast library resources. Today, most institution's libraries have extensive partnerships with other colleges and universities throughout their region allowing access to inter-library lending services as well as extensive online access to documents and library resources (Breeding, 2002). Although each organization may spend more funds to accommodate additional staff and students from other institutions, economies may be recognized through the reduction of duplicative purchases.

² INTO is a private organization that recruits qualified foreign students for universities throughout the world. Additional information about INTO can be found at <http://www.into-corporate.com>

Organizations can also benefit from the advantage of bulk purchasing. While each institution may have its own requirements and specifications for a particular product, where products are compatible, savings can be achieved. Lambert describes how his institution often partners with other external private entities to curtail cumbersome and costly State procurement policies and regulations (H. Lambert, personal communication, January 31, 2012).

Educational diversity. Argumentatively, engaging with consortia can augment a university's educational diversity by promoting access to other organizations' specialized resources and educational offerings. For example, one institution's Asian studies department may borrow a faculty member (who may specialize in Tibetan history) from another institution. Savings could be gained by paying the faculty's salary without having to bear the cost of his or her overhead (office, benefits, travel, etc.). Universities can also diversify their educational offerings by combining the expertise of two different departments to create a new program offering. For example, one institution may be approved to offer a master's degree in management and another institution may be approved to offer programs in engineering. The collaborative expertise of the two departments could offer a program in engineering management where one department teaches the management courses and the other department teaches the engineering courses. Students from one institution can cross-register with another institution and thus gain access to the talents and expertise of a wide variety of faculty and programs. These types of partnerships, however, are often broached with much caution due to the risk of losing valuable faculty and resources to another, potentially competing institution.

Collaborative ventures can also be used to provide new programs to new locations throughout a region or state. One university may maintain an off-campus facility at a site away from its main campus and host another university's program at the facility. For example, university X may operate an off-campus facility in a location where there is a specified need for a computer science program. Because university X does not have approval to offer a computer science degree, and does not desire to go through the long, arduous, and expensive process of developing and gaining approval for a new curriculum, it may collaborate with university Y to host its computer science program at university X's facility. University Y would be able to expand its program to off-campus sites without having to maintain the costs of a duplicative facility in the region.

Public relations and external funding. Foundations and philanthropic organizations can influence whether universities engage in partnerships with other groups and organizations. Other influences include money, government, prestige, innovation, and actions that raise one's professional status (D. Greenberg, personal communication, January 16, 2012).

The idea that cooperation can provide more effective relations between institutions of higher education and local communities or regions, and can promote educational concern with social, political, and economic problems, has played a part in the growing cooperative movement. . . . While in some instances one incentive for [inter-organizational] cooperation is to protect the private institutions from public dominance or takeover, in other instances an incentive may be to explicitly and actively discourage competition and promote cooperation between such institutions. (Kreplin & Bolce, 1973, p. 27)

Universities may discover that by combining the political strengths of multiple organizations they may be able to promote a "better understanding of educational offerings and needs and can result in better public support of education" (Konkel &

Patterson, 1981, p. 8). By presenting a unified front to state and federal legislators, universities may be able to bolster their political image and strengths; consequently, politicians may view the institutions more favorably when they are debating budgetary matters that affect the universities (Heath, 2012; Lambert, 2012; Stanford, 2011).

Theoretical and Conceptual Frameworks Defined

A theoretical or conceptual framework “structures and guides the conduct of social scientific research” (Carr & Kemis, 1986, p. 110). When examining the characterization of conceptual or theoretical frameworks, Miles and Huberman (1984) express that “a conceptual framework explains, either graphically or in narrative form, the main dimensions to be studied—the key factors, or variables—and the presumed relationships among them” (p. 28). The University of Southern California (2012) defines theoretical frameworks as follows:

Theories are formulated to explain, predict, and understand phenomena and, in many cases, to challenge and extend existing knowledge, within the limits of the critical bounding assumptions. The theoretical framework is the structure that can hold or support a theory of a research study. The theoretical framework introduces and describes the theory [that] explains why the research problem under study exists. A theoretical framework consists of concepts, together with their definitions, and existing theory/theories that are used for [a] particular study. (para. 1)

A solid theoretical framework “explain[s] the meaning, nature, and challenges of a phenomenon, often experienced but unexplained in the world in which we live, so that we may use that knowledge and understanding to act in more informed and effective ways” (University of Southern California, 2004, “Importance of Theory,” para. 4).

Social/Behavioral Theories and Conceptual Frameworks

Wacker (1998) defines theory as having “four basic criteria: conceptual definitions, domain limitations, relationship-building, and predictions” (p. 361). He continues by stating that “academics point to a theory as being made up of four components, (1) definitions of terms or variables, (2) a domain where the theory applies, (3) a set of relationships of variables, and (4) specific predictions (factual claims)” (p. 361).

Researchers can define theory as a statement of relationships between units observed or approximated in the empirical world. *Approximated* units mean constructs, which by their very nature cannot be observed directly. . . . A theory may be viewed as a system of constructs and variables in which the constructs are related to each other by propositions and the variables are related to each other by hypotheses. (Bacharach, 1989)

A theory is not scientific fact or law. Scientists form hypotheses and then attempt to disprove them. When they are not proven wrong, they are generally accepted as scientific fact. Facts and theories are not contradictory; however, theories are the best way researchers explain a collection of facts. Theories provide a story or model with many lines of evidence that helps us to make sense of a phenomenon. Theories are like maps that can be used to describe, explain, predict, and control. Theories are well-supported, testable explanations; however, they are never regarded as the absolute truth, and are continually reworked and revised. There are two general categories or approaches to theory—objectivist and interpretive. The objectivist approach to theory is more quantitative by nature, tries to establish cause and effect, and is concerned with getting to the truth. Variables are tightly controlled and validation and experimentation are required. Objective theories build on each other and attempt to explain the data

presented, predict future events, tests hypotheses, and have practical utility (generalizability). Interpretive theory examines alternative ways for understanding the world, is more qualitative by nature, and implies a certain amount of subjectivity. Interpretive theory helps us to understand people and society from a different perspective, clarifies values, and is often used to reform society.

Social exchange theory. In 1957, George C. Homans introduced his theoretical concept based on social exchanges. Its early iteration was outlined in an article published by the American Journal of Sociology (Homans, 1958). Cropanzano and Mitchell (2005) assert that social exchange theory “is one the most influential conceptual paradigms in organizational behavior” (p. 874). Homans’ social exchange theory (SET) contends that relationships between individuals and/or organizations are established by the use of a subjective cost-benefit analysis and the consideration of alternatives. Homans describes social behavior as an “exchange of goods, material goods but also non-material ones, such as the symbol of approval or prestige” (p. 606). Homans continues by describing group dynamics within this social exchange as an effort to maintain equilibrium.

Not only does he seek a maximum for himself, but he tries to see to it that no one in his group makes more profit than he does. The cost and the value of what he gives or what he gets vary with the quality of what he gives and gets. (p. 606)

Behaviors within a group (internal influences) can be considered reinforcing or non-reinforcing. These are often determined by the individuals’ values. Common values produce reinforcing behaviors. Divergent values produce non-reinforcing behaviors.

Following some of the same assumptions as rational choice theory, that balances the costs against the benefits to arrive at action that maximizes personal advantage (Friedman, 1953), SET posits three premises: outcome, satisfaction, and dependence

(Lambe, Speckman & Wittman, 2002). Outcome (value and reward) is the difference between perceived benefits and estimated costs. Defined in economic terms, “the cost of a particular course of action is the equivalent of the foregone value of an alternative—and then add the definition: Profit = Reward - Cost” (Homans, 1958, p. 603). SET contends that change in behavior (individually or as a group) is more likely when the perceived profits are minimal—or the reward and costs are relatively balanced (equilibrium). The second premise maintains that individuals or organizations maintain relationships based on their perceived level of satisfaction. Satisfaction is the difference between the outcome and the available alternatives (Homans, 1958). The third premise contends that dependence is the difference between outcome and the corresponding level of alternatives (Cropanzano & Mitchell, 2005; Homans, 1958). Cropanzano and Mitchell (2005) also maintain that

because an exchange requires a bi-directional transaction—something has to be given and something has to be returned. For this reason, interdependence, which involved mutual and complimentary arrangements, is considered a defining characteristic of social exchange. (p. 876)

SET has been used to assess perspectives and decisions based on benefits, costs, satisfaction levels, and available alternatives (Bryant & Napier, 1981; Weiss & Stevens, 1993). The basic tenets of the social exchange theoretical framework can be applied toward the mechanics of conducting an engagement activity between a university and an external entity or organization. When university staff are considering whether or not to engage in a partnership with external entities, outcomes (value and rewards)—or the perceived benefits, less the costs (worth)—are presumably weighed against the outcomes of other alternatives, including those of not engaging in a partnership. Influences that are

internal and external to the institution (reinforcing or non-reinforcing behaviors) contribute toward the levels of satisfaction and dependence. Finally, SET hypothesizes that a common set of values and beliefs—agreed upon through relationship building—strengthens the partnership and its probabilities for success.

Cropanzano and Mitchell (2005) assert that the SET depicts the development of associations or relationships “between two interacting partners (whether individuals or organizations)” (p. 883). The theoretical framework of social exchange has relevance in delineating the motivations and general reinforcing and non-reinforcing traits that contribute to successful or unsuccessful university engagement activities. The social exchanges and relationship building that occur during the formation stage of partnerships establish the guiding principals, values, norms, and expectations of the relationship (Lambe, Speckman & Wittman, 2002; Selsky & Parker, 2005). Lambe, Speckman & Wittman (2002) express that there are a number of models that explain the development of relationships or partnerships between businesses; however,

[all] models are similar in their reliance on SET to explain the development of relational exchange. Essentially, process models suggest that relationships that facilitate relational exchange develop in a stages [*sic*] fashion through exchange interactions over time. . . . From a SET perspective, the initial transactions are crucial in determining whether the [business-to-business] relationship will expand, diminish, remain the same, or dissolve. (p. 13)

Social exchange theory does have some limitations whereas it is usually applied to rational individual decision-making in a competitive western economy and these same theories have not been tested outside this environment (Emerson, 1976). It also assumes that people are rational, they seek rewards and avoid punishment, and the standards used to evaluate the costs and benefits change over time from person to person (West &

Turner, 2007). Nevertheless, for the sake of this literature review, this research is focusing on western-based universities and their engagement activities with entities external to the institution. The SET's most important concept is that of reward and value (Emerson, 1976). Both response frequency and reward (reinforcement) frequency can be measured independently; however, they do not have independent meaning. As Emerson (1976) further explains, "a reward is, by definition, a stimulus consequence that increases or maintains response frequency" (p.342). Another limitation to using SET is that relational governance in the form of norms may be perceived as an acceptable substitute for formal governing mechanisms such as contracts, memorandums of agreement, etc. (Greisinger, 1990; Hill, 1990; Macauley, 1963). Nonetheless, "empirical studies have failed to clearly support the notion that relational governance can supplant formal governance" (Lambe, Speckman, & Wittman, 2002, p. 26). Finally, another limitation that SET does not address is that of opportunism (Lambe, Speckman, & Wittman, 2002). SET posits that partnerships are established over time and based on building relationships and determining outcomes, satisfaction, and dependence (Cropanzano & Mitchell, 2005; Emerson, 1976; Homans, 1957). It does not provide clear explanation of partnerships or social exchanges based on opportunity or occasion (Lambe, Speckman, & Wittman, 2002).

An engagement activity that leads to potential partnerships between a university and an external entity can be serendipitous or planned. Some partnerships are arranged by third parties, some can emerge out of a crises (economic or environmental), and some can occur through coincidence. When intentionally planning an engagement activity, one of the initial steps is to determine what type of relationship (if any) the two entities

should pursue. Another step is to convey an interest (or lack of interest) to the other party. “Relationship initiation requires a means of effectively evaluating and communicating information about the potential rewards and costs that might be expected and having the capacity to fulfill each other’s expectations” (Bringle & Hatcher, 2002, p. 507). Bringle and Hatcher argue that applying the basic tenets of SET to developing relationships can result in a clearer understanding of the potential outcomes (rewards minus costs) or program expectations of a partnership.

Dependency is another aspect of SET that is determined in the initial relationship building phase of a partnership. Each entity assesses the degree or level of the outcomes of the partnership are compared to other alternatives. In other words,

the degree to which the party’s outcomes would suffer losses if the relationship were to end, for whatever reason, and denotes that one is receiving valued outcomes that cannot be attained from other parties. . . . When dependency is mutual, it leads to healthy interdependency. (Bringle & Hatcher, 2002, p. 510)

Homans (1958) argues that exchange behavior is directed by the establishment of norms, and Emerson (1976) contends that powers develop as a result of dependence and that norms serve as guides for the use of power in relationships. University staff involved with engagement, as well as their potential partners, establish norms and gauge dependency and power as relationships are being formed.

Rational choice theory. Rational choice theory (RCT), also known as rationality principle, rational actor model, and the theory of rational action, is the process weighing the cost and benefits of a decision to maximize its utility and provide the best positive to negative results. The origins of RCT stem back to the early 1900s when John von Neumann began applying formal decision and game theory and its application to

economics (Herfeld, 2012). In the 1940s, a group of mathematicians and strategists working for The Rand Corporation, a non-profit think-tank, developed what was called game theory that mathematically predicted how people would make choices given certain information. RCT is criticized because the mathematics of RCT requires that preferences remain constant over time (non-commutative requirement). A group of behavioral scientists conducted a study that determined that preferences can be reversed by changing how a question is framed (Tversky & Kahneman, 1986). RCT is currently used as a premise in neo-classical economics.

Although RCT emerged from mathematics and has been applied somewhat to economics, more recently, it has been applied to the psychological analysis of risk and value. Tversky and Kahneman (1986) contend that “deviations of actual behavior from the normative model are too widespread to be ignored, too systematic to be dismissed as random error, and too fundamental to be accommodated by relaxing the normative system” (p. 252). Similar to social exchange theory, RCT also recognizes values, and the establishment and agreement upon values, as a key component of its premises. Boudon (1998) contests that “RCT assumes that individual action is instrumental, namely, that it has to be explained by the actors’ will to reach certain goals” (p. 818). The typical assumption is that members within a group are motivated by attaining power, prestige, or private and instrumental goods (wealth) in exchange for other immanent goods. Hechter (1994) contends that players amongst a group or society share instrumental values (such as wealth or the acquisition of wealth); however, how they use that wealth may be different. On the other hand, immanent values are idiosyncratic and subjective. Hechter continues by describing social institutions as groups of individuals coupled by common

immanent values—often at the expense of others. If it is presumed that people typically share the same immanent values (Boudon 1998; Hechter, 1994), one challenge to engaging in partnerships within the RCT framework is the identification and establishment of a common set of immanent values. Two entities with varying or conflicting immanent values are less likely to succeed in a partnership. A major flaw in utilizing the RCT model is defining rationality. Similar to SET, the premise is that individuals, and subsequently groups of individuals make rational decisions. Furthermore, RCT assumes that individuals want to avoid acting rashly and impulsively versus in a logical manner.

Another similarity to social exchange theory is that RCT involves utility maximization. More succinctly, after assessing the costs and benefits, and given the choice of two equal outcomes, the decision maker will pick the choice that best serves his or her objectives (Modica, 2006).

In general, individuals will pursue action that will reward them in some shape or fashion, while avoiding those actions that could potentially harm them in some way or create a perception that alternative choices will not generate as much benefit as another choice. (Modica, 2006, pp. 34-35)

Applying RCT to a university environment, when faced with a decision whether to increase tuition or reduce expenses, according to Hechter (1994), the instrumental values are the ability to maintain a stable budget, the dominant immanent values are a critical influence on which choice or decision is made. Blanchette (2010) describes applying RCT to the decision making process related to space management issues on three university campuses. Her description of the shared management on university campuses characterizes it as often fragmented, unresponsive, and slow. However, when

external and economic pressures preside on campus administrators, faculty, and staff, a rational choice model of decision-making is often employed to achieve desired outcomes. University and system-wide priorities influence the instrumental and immanent values of the decision makers when determining which buildings need to be renovated, reconstructed, or built.

The choice of whether university staff decide to initiate an engagement activity with an external entity is theoretically based on the potential outcome of the partnership. Applying RCT to the formula of determining partners for an alliance or collaborative initiative requires an assessment of institutional priorities, costs and benefits, outcomes, and individual as well as organizational values.

Conclusions and Summary of Social/Behavioral Theoretical and Conceptual Frameworks

Both social exchange and rational choice theories focus on the process of the relationship building between individuals or groups and how those relationships affect decision making. SET and RCT share some of the same premises and assumptions.

A contrast to the individualistic nature of rational choice theory, social [exchange] theory looks at the decision making processes as it relates to the decision makers and society. Both theories are attempts to explain the processes associated with group decision making. While rational choice focuses on individual preferences and how those preferences impact group decisions, social [exchange] focuses on how the decision maker's preferences are aggregated to form a collective choice that represents the general will of the public. (Modica, 2006, p. 40)

Some basic assumptions that apply to RCT and SET and affect the relationship building process between individuals or groups are:

1. Actors are motivated by self-interest (utilitarianism).
2. One can predict and understand by understanding an individual's motivation.

3. Social structure, group phenomenon, and normative culture are constructed by the values and actions of individuals.
4. Actors are rational.
5. Actors weigh the costs and benefits or rewards of a decision or choice.

The literature does not appear to address how institutions or universities apply social/behavioral theories to the strategy of university engagement in higher education. Although self-interest, motivation, and values greatly influence participation in any type of social organization, membership in a partnership may incur compromise or even costs. Where does one draw the line between rational and irrational thought and action? Does (governmental) regulation sometimes limit or constrain rational choice?

Common Trends and Themes

The underlying social and behavioral concepts of SET and RCT provide some of the foundational elements for cultivating and building relations between two potential partnering entities. Employing some of the principles introduced in SET and RCT a conceptual picture or theoretical framework has been developed of four essential elements that should be identified, evaluated, and communicated during the relationship building process that occurs during the initial stage of a developing partnership between two entities (Figure 1). This framework provides a lens in which I can view the process of building partnering relationships by managing program expectations—also referred to as engagement management.

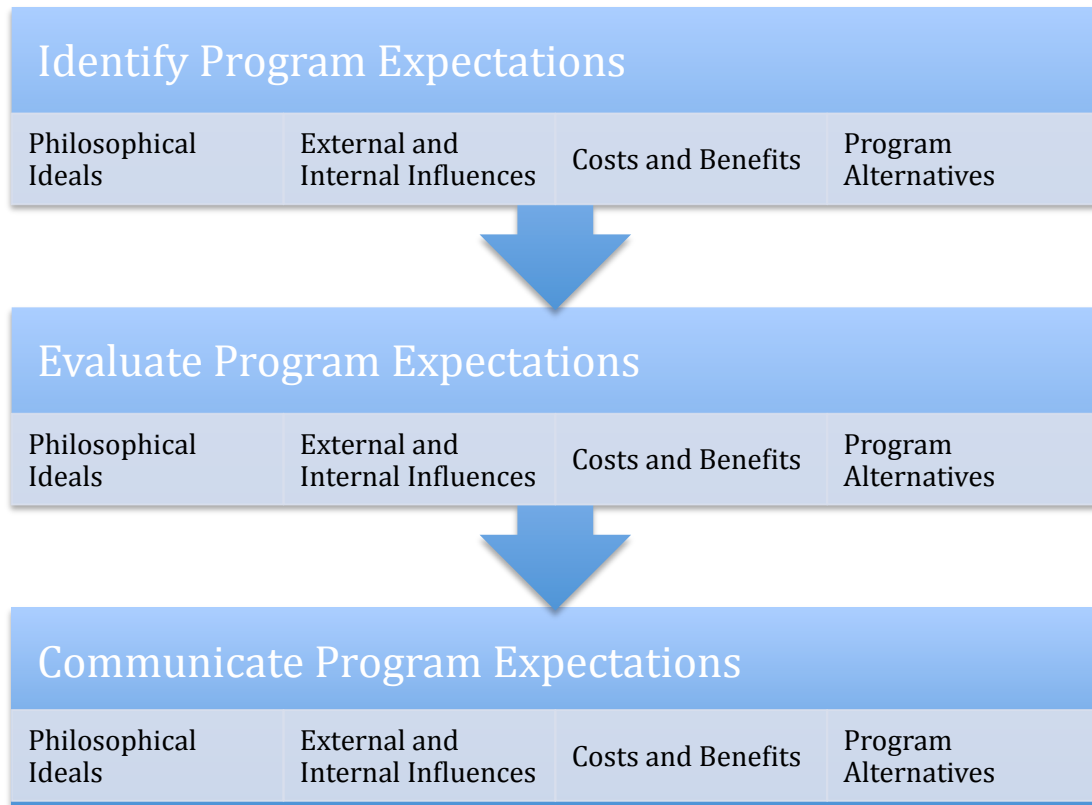


Figure 1. *Engagement Management: Managing program expectations to support relationship building.*

Based on the conceptual model presented in Figure 1, program expectations are categorized into four elements—philosophical ideals, external and internal influences, costs and benefits, and program alternatives. Philosophical ideals may include immanent and instrumental values, as well as established institutional and departmental mission and priorities. External and internal influences may be in the form of motivators and de-motivators, and may be influenced by an individual or group’s support of the other three elements of program expectations (philosophical ideals, costs and benefits, and program alternatives). Costs and benefits may be tangible and intangible. Tangible costs and benefits may include financial, material (equipment and supplies), building use, and staff

to name a few. Intangible costs may include items such as time, program authority, quality control, and public relations. Finally, alternative programs may include other partners, programs, and the possibility of no engagement activity or partnership. It is hypothesized that criteria within these four elements of program expectations should be identified by all participating members of the engagement activity. The next step or phase would be to establish a process and criteria for evaluating each of the four program expectation elements. The criteria and processes for evaluating the four elements may be used as benchmarks of success or failure of the engagement activity. Finally, it is essential to communicate the criteria for these four elements of program expectations to all parties involved in the engagement activity or partnership. During the relationship building process, criteria within these four elements of program expectations should be continuously communicated, evaluated, and benchmarked during the duration of an engagement activity.

The central focus of this concept is the development of clear and realistic program expectations for a university engagement organization and its activities. The premise is that these program expectations are identified, evaluated, and communicated when engaging in a planned engagement activity or partnership with an external entity. This conceptual model, incorporating some of the principles common to RCT and SET, makes the following assumptions:

1. University engagement programs and activities should be grounded with a clear set of established program expectations.
2. Program expectations for the engagement activity are identified, evaluated, and communicated based on criteria gathered from at least four primary components

or elements: (a) philosophical ideals; (b) external and internal influences; (c) tangible and intangible costs and benefits; and (d) program alternatives.

3. Relationship building (and maintenance) is essential to the success of university engagement activities with an external entity.
4. Clearly communicating and benchmarking program expectations in the form of criteria is essential to the success of relationship building and the partnership.

Using an assertion of SET and RCT, we can assume that all actors are rational and one can predict or understand by understanding an individual or group's motivations—or internal and external influences (Modica, 2006). Critical relationships and expectations are nurtured and developed based on a common set of instrumental and immanent values and beliefs that are agreed-upon by all parties (Emerson, 1976; Homans, 1958; Lambe, Speckman & Wittman, 2002). Key to establishing and maintaining a successful partnership is the communication and agreement in a common set of instrumental and immanent values (Hechter, 1994). These common values may be communicated to internal and external partners.

Assuming that all actors involved in a potential partnership weigh the costs and benefits or rewards of a decision or choice (Homans, 1958; Modica, 2006), one has to also be aware of and account for the internal and external influences that weigh upon the decision makers as they evaluate potential outcomes. Funding, autonomy, program authority, quality control, economic resources, and the expansion and improvement of educational resources are a few of the perceived costs and benefits, in the form of influences external or internal to the institution, that surround and persuade these parties as decisions are made whether partnerships are established, or not established. Over the

years, the level and intensity that each of the internal and external influences (motivators) play in the development of collaborative partnerships may change. This change may be a result of an evolution of societal and institutional attitudes toward collaboration and engagement, or economic pressures necessitating university management to take a closer look at engagement and readjust their instrumental and immanent values and beliefs.

Both SET and RCT contend that the process of relationship building (both internally and externally) is a critical element in the success of an engagement activity between two or more individuals or groups. Relationship building begins with the establishment and agreement of clearly defined and realistic program expectations and benchmarking the success of the engagement activity against the program expectations. Components of SET and RCT also suggest that each party needs to identify, evaluate, and communicate its philosophical ideals (instrumental and immanent values and beliefs, mission, priorities, etc.) as well as any internal and external influences that may manipulate the direction of the partnership. Understanding and communicating these program expectations provides a solid foundation for managing the expectations of the partnership.

It is hypothesized that relationship building through effective engagement management involves clearly identifying, evaluating, and communicating the philosophical ideals, perceived costs and benefits, internal and external influences, and potential alternatives. By communicating and managing program expectations effectively, actors within the partnership—and external to the partnership—gain a vested acceptance of the initiative, and contributes toward the success of the initiative or partnership.

Conclusions

A word that immediately comes to mind when one thinks about university engagement with entities external to the academy is *rhetoric*. Much of what is said about establishing partnerships and collaborative ventures, at least in the early stages, can appear to be rhetoric. Has the rhetoric changed over the years? Have attitudes toward university engagement changed the type, level, and amount of rhetoric? If so, in what direction? A university's institutionalized practices may be inconsistent with the rhetoric of its mission statement (Maurrasse, 2001).

One of the most common themes observed in the literature focused around change. Change creates stress among internal (staff, faculty, etc.) and external (community partners, school administrators, etc.) entities. People involved with outreach and engagement activities and creating or forming the partnerships tend to manage this stress by relying on a common set of instrumental and immanent values and beliefs to work through the change. A core set of values and beliefs that everyone can agree upon is key to the success of initiating and maintaining engagement activities.

Partnerships are often established based on existing relationships with common values and ideals. Dr. M. spoke about sitting in a room with another peer and hashing out an idea “based on a common set of values and beliefs” (Dr. M., personal communication, April 29, 2011). Dr. M. reflected on her relationships with individuals outside the institution as well as individuals inside the institutions. She indicated that without a supportive relationship with the Provost and Chancellor, her engagement efforts would not have flourished. Also, she discussed how she needed to work closely with the faculty to manage expectations and garner support and commitment to her efforts. The nurturing

of potential partners involves extensive relationship building to the point where trust is established between the two parties and discussions can be fruitful. Dr. M. expressed the process of putting “blood on the table,” a reference to the frankness that discussions must have in order to create an effective partnership. These assertions highlight the importance of conducting discussions to establish a clear set of program expectations for the partnership during the relationship building process.

Greenberg (2012) and Lambert (2012) both exuded an entrepreneurial approach to engagement between the university and external entities. These staff are employed by universities to proactively nurture and establish opportunistic partnerships and entrepreneurial relations between the university and external entities. Other institutions have developed sophisticated outreach and engagement organizations that provide a wide range of outreach and engagement services and activities to both clients internal and external to the university. These refined outreach and engagement organizations serve as a conduit between external entities and resources and staff within the university. The process of engagement is more of an art than a science (M. McKeever, personal communication, December, 2011). Subjective estimates regarding the costs, benefits, outcomes, values, and expectations are continuously assessed during the process.

The literature presented brings into question how four-year public universities systematically prepare for and approach the development and prioritization of engagement activities with external entities. Four elements or components have been suggested that should be considered when designing a comprehensive program expectation strategy.

1. Philosophical ideals

2. External and internal influences.
3. Costs and benefits.
4. Program alternatives.

It is hypothesized that most active university outreach and engagement staff identify and evaluate some of these elements in advance of an engagement activity; however, possibly not in a logical or systematic manner. It is also hypothesized that evaluation and prioritization of these elements is generally not conducted in a systematic or scientific manner. Elements such as institutional mission and priorities may be easily obtained through existing institutional documents. However, immanent and instrumental values may be more challenging to identify. Although, actively identifying in advance external and internal influences, costs and benefits, and program alternatives may be elements overlooked or very challenging to obtain. It is suggested that once these elements are clearly identified, evaluated, and communicated to all parties involved in an engagement activity, all parties will be able to manage program expectations (engagement management) in a clearer and more concise manner leading to an increase in the likelihood of a successful university engagement activity.

It is apparent that I have just scratched the surface of this research topic. There is still a lot of work to be done before one can provide any conclusive recommendations regarding the criteria and processes that are employed to identify, evaluate, and communicate engagement management expectations for university engagement activities. In addition, more needs to be examined regarding the influences, costs, and benefits that weigh upon engagement staff and decision makers as they initiate the development of collaborative partnerships between public universities and external entities. Meeting

notes and other supporting documentation and data should be analyzed to gain an understanding of the strategies required to initiate successful and meaningful partnerships between public higher education institutions and external entities. Past and current leaders who have been involved with managing engagement activities and the development of collaborative partnerships should be surveyed to gain knowledge of their experiences with respect to identifying criteria and processes used to build strong relationships and manage effective partnerships between the university and an external entity.

The purpose of the literature review was to first examine the history of university outreach and engagement, the types of partnerships that currently exist between universities and external entities, and some of the more common internal and external motivations and incentives. The second section examined the literature about the institutional challenges and the potential costs and benefits of institutional alliances and partnerships. The third section investigated two social theoretical models (social exchange theory and rational choice theory) and what the literature indicates regarding the process of relationship building when forming alliances or partnerships between two individuals or groups.

The final piece of the literature review focused on analyzing the concept of how the effective management of program expectations supports the building of relationships during the process of university engagement. Relationship building was selected as a focus of the investigation not only because it is a critical element of successful partnerships, also, because it is hypothesized that sharing program expectations is an essential element in building relations with potential partners during engagement

activities. The research examines and categorizes the fundamental criteria identified in the literature used by university engagement staff to identify, evaluate, and communicate its program expectations in support of its relationship building and engagement activities.

Chapter 3, methodology and data collection, provides an outline for the design that directed the research. It also provides the reader with the setting and context of the research, the sample and data sources, research procedures, data collection processes, data analysis techniques and tools, the role of the researcher, and limitations of the research. The first section of chapter 4 is designed to provide the reader with a contextual overview of the evolution and organization of engagement and outreach at Michigan State University and its Office of the Associate Provost for University Outreach and Engagement. The second section addresses the primary research questions through the framework of engagement management (philosophical ideals, external and internal influences, costs and benefits, and program alternatives) and the secondary research questions comprehensively. The final section provides summary thoughts. Chapter 5 first examines the findings for themes under each of the four elements of engagement management (philosophical ideals, internal and external influences, costs and benefits, and program alternatives). The second section integrates the framework for engagement management to offer “best practice” recommendations for staff involved with university engagement activities. The third section provides observations and discussion, followed by suggestions for future research.

Chapter 3: Methodology and Data Collection

The methodology and data collection chapter provides an overview of the design that directed the research. It also provides the reader with the setting and context of the research, the sample and data sources, research procedures, data collection processes, data analysis techniques and tools, the role of the researcher, and limitations of the research.

Introduction

Today's higher education administrators must continuously think about how change will affect the prestige and traditions of their institution (Powers, et al.). Engaging with an external entity affects change—changes in program authority, processes, and procedures. However, to maintain an edge in today's competitive market, university leaders must look for new and innovative ways to expand and leverage their resources. A well-planned and strategic approach to building and managing partnerships with external entities can provide universities with many opportunities to shape and expand their resources. Some universities have established sophisticated outreach and engagement organizations that proactively nurture and establish opportunistic partnerships and entrepreneurial relations between the university and external entities. My initial research questions included the following:

Primary research questions:

1. What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
2. What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

It was hypothesized that effective management of program expectations (engagement management) can play an important role in developing and maintaining relations between two entities. In today's university environment, partnership agreements can range from room rental agreements to intricate land and facility agreements for multi-organizational research and development complexes. The activities and level of involvement of a university outreach and engagement office in these engagement activities can also range widely from campus to campus. Program expectations may often be used to benchmark and gauge the success or failure of the partnering effort. Prior to engaging in a partnership with an external entity, it is important to clearly and concisely identify, evaluate, and communicate program expectations.

Research Design

Qualitative research allows me to examine the social world and often the subjective aspects of events, people, and activities (Creswell, 2007; Patton, 2002). It can be used to describe and understand complex phenomenon. Its methodologies add a participatory perspective—through the eyes of the studied objects—to research what, in most cases, quantitative research methods frequently neglect. The nature of qualitative research is subjective and interpretive. Qualitative methodology is criticized by some quantitative researchers as prone to bias; however, if an investigator is well aware of these tendencies prior to beginning a qualitative study, these biases can be checked. “Standard qualitative designs call for the persons most responsible for interpretations to be in the field, making observations, exercising subjective judgment, analyzing and synthesizing, all the while realizing their own consciousness” (Stake, 1995, p. 41). Qualitative methodology allows the researcher to study evolving concepts and theories during the process of collecting the data (Creswell, 2007). Although there are many ways to approach a study qualitatively (e.g., phenomenological, case study, grounded theory, ethnography, narrative, etc.), and many of these approaches can be mixed or combined, all are geared toward understanding a multi-dimensional picture of the subject under investigation. Qualitative research methods are a valid and reliable way to examine the evolution of concepts and theories about the science of the human world (Creswell, 2007; Patton, 2002).

The case study approach is relatively flexible and can be used to study either one isolated university engagement activity or organization, or a series of university outreach and engagement organizations (Creswell, 2007). Also, a (collective) case study approach

can be used to compare two or more organizations or parties. A case study emphasizes and provides a detailed contextual analysis of events or activities and their relationships. Its ability to investigate a phenomenon within its real-life context provides the researcher with rich and detailed information about how staff involved with university engagement approach the process of identifying, evaluating, and communicating program expectations to support their relationship building and engagement efforts. Anderson (1993) describes case studies as “being concerned with how and why things happen, allowing investigation of contextual realities and the differences between what is planned and what actually occurred” (as referenced in Mohd Noor, 2008, p. 2). Anderson continues by stating that: “Case study is not intended as a study of the entire organization. Rather is intended to focus on a particular issue, feature, or unit of analysis” (as referenced in Mohd Noor, 2008, p. 2). Case study allows the researcher to gain a holistic view of the phenomenon and, because there are multiple resources used in the collection of data, can provide a well-rounded perspective of the series of events. When writing the narrative for a case study, the author can capture the emergent and immanent events that occurred over time. When comparing multiple cases, the researcher can examine their commonalities and provide some generalizations regarding similar trends and tendencies. Case study research allows the investigator an opportunity for innovation and provides a method to challenge theoretical assumptions (Creswell, 2007).

Case study research methodologies also have some inherent disadvantages. Unlike a controlled laboratory experiment, the researcher frequently does not have control over certain variables and events. This may result in the loss of external validity; however, may enhance its internal validity. It is difficult to make generalizations from a

single case study. Furthermore, even when multiple cases are compared, a researcher must be cautious to assert generalizations outside the groups studied. It is also very difficult to draw definite cause-effect conclusions. Finally, as with other types of research methodologies, because, for the most part, a single person gathers and interprets the data, there is a potential for biases in data collection and analysis. An investigator using case study as a research method should be cautioned against relying too heavily on interpretation to guide his or her findings and recommendations—avoid a self-fulfilling prophecy or Pygmalion effect.

Yin (1994) supports the use of case studies to answer questions of how or why. Furthermore, he asserts that the use of the case study approach is beneficial when the researcher has very little control over behavioral events and the phenomenon can be contextualized in real-life, contemporary events. When framing the questions from a case study perspective, it is imperative that the researcher determines what he/she will be studying. This helps the researcher to focus the research and better define his/her questions.

Stake (1995) classifies case studies into three categories: (a) intrinsic, (b) collective, and (c) instrumental. Intrinsic case studies are more exploratory, guided by interest in the case rather than generalization or extending theory. Collective case studies examine multiple cases. Instrumental case studies focus on understanding a phenomenon within a case, not necessarily the case itself. For the purpose of this study, I approached the study from an instrumental case study perspective—examining the phenomenon of developing relationships, program expectations, and partnerships within one university. Using an instrumental case study approach as the primary method of examining these

questions allowed me to gain a better understanding of the criteria and processes (or why and how) that staff initiating and managing university engagement services use to manage the identification, evaluation, and communication of program expectations for engagement activities with entities external to the academy. The purpose of this study was to examine processes and criteria used within a particular organization. I examined one public, land-grant university outreach and engagement program and analyzed the criteria and processes that the organization used to identify, evaluate, and communicate its program expectations that support its engagement activities. I first examined how university engagement staff identify and categorize the elements that belong in a comprehensive list of program expectations to include the four primary elements: (a) philosophical ideals, (b) costs and benefits, (c) internal and external influences, and (d) program alternatives. I then explored how staff involved with university engagement evaluate and prioritize program expectations. Finally, I examined how university engagement staff communicate and manage their program expectations during the engagement process.

Unlike a narrative approach, where I may ask more subjective questions regarding an individual's experience when identifying and evaluating program expectations, this study's questions were more focused on the individual and group's opinion of the criteria and processes that influence decisions. Some of those questions included:

1. What *criteria* does your engagement organization use to determine its the mission and priorities?
2. What *criteria* does your organization use to plan its engagement program strategy?

3. What *criteria* does your organization use to identify potential engagement or partnering opportunities with external entities?
4. What *criteria* does your organization use to identify potential external partners for its engagement activities?
5. Describe the *process* your organization uses to initiate and build relationship with potential external partners?
6. What *criteria* does your organization use to identify and determine its organizational values?
7. Describe the *process* your organization uses to collect and compile this information or data?
8. What *criteria* does your organization use to align its engagement activities with the mission and priorities of the institution?
9. Describe the *process* your organization uses to collect and compile this information or data?
10. Describe the *process* your organization uses to identify and evaluate *internal* incentives and disincentives to a potential engagement or partnership endeavor?
11. What are some of those internal incentives?
12. What are some of those disincentives?
13. Describe the *process* your organization uses to identify and evaluate *external* incentives and disincentives to a potential engagement or partnership endeavor?
14. What are some of those external incentives?
15. What are some of those external disincentives?

16. What *criteria* does your organization use to identify and evaluate the anticipated costs and benefits of a potential engagement or partnership endeavor?
17. Describe the *process* that your organization uses to identify and evaluate the anticipated costs and benefits of a potential engagement or partnership endeavor?
18. Describe the *process* your organization uses to identify and evaluate alternative options for potential university engagement or partnering opportunities?
19. What *criteria* does your organization use to identify program expectations for a potential partnership or engagement activity?
20. Describe the *process* your organization uses to identify its program expectations for potential engagement activities?
21. Describe the *process* your organization uses evaluate the specific elements of the program expectations?
22. Are there any *documents* that I can review that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?
23. Are there any *events* that I could attend that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?
24. Are there any other *individuals or groups* who you could recommend that might be able to provide another perspective as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?

"Advantages emerge from pooling resources and from agreements conferring benefits on both the 'have' and 'have-not' institutions joined in a common purpose. Cooperation can thus mean significant enrichment for both students and faculties" (Bunnell & Johnson, 1965, p. 250). Institutions must ask themselves what they will gain and what they will give up in order to join forces with institution or organization. One must be compensated for what it perceives it is losing. Compensation may not be in the form of services; but perhaps goods, access to information, or other equitable benefits. A quid pro quo pact may be present and agreed upon by all parties. "Cooperation, therefore, should be based not only on strengths, but also on the ability of an institution to reciprocate in complementary areas" (Silverman, 1975, p. 38). Internal and external forces influence decisions that either compel or dissuade institutional leaders to enter into a collaborative relationship with other organizations.

Research Setting/Context

This study examines one public, land-grant university outreach and engagement organization and the criteria and processes staff use to identify, evaluate, and communicate the program expectations (philosophical ideals, internal and external influences, costs and benefits, and potential alternatives) of planned engagement activities or potential partnerships with external entities. Michigan State University (MSU) was selected for this study to allow me an opportunity to examine its strategies, criteria, and process for engagement activities.

Michigan State University was selected based on the following criteria:

1. The university has an established outreach and engagement organization with multiple staff dedicated to providing outreach and engagement services.

2. The outreach and engagement department conducts, coordinates, and manages a variety of engagement activities and programs with entities internal and external to the university.
3. The outreach and engagement organization is an integral part of the university providing outreach *and* engagement services for the entire institution.
4. The institution is a public, land-grant university.

Although many universities fall within these parameters, the primary university selected for this study was Michigan State University. Penn State University and Oregon State University were considered as alternates if Michigan State University was not able to participate in the study. These three public, land-grant institutions fall within the established criteria, are at varying stages of development and maturity, and offer varying levels of outreach and engagement services to its community and state. The following section provides a brief overview of Michigan State University.

Michigan State University. In 1989, Michigan State University (MSU) established its Office of University Outreach and by 1996, a guidebook (Points of Distinction) was published by MSU's Office of University Outreach that provides guidelines for planning and evaluating quality outreach at the institution. Interestingly, this guidebook outlines key value positions that undergird MSU's outreach efforts. They include mutuality and partnering, equity, developmental processes, capacity building, communityness [sic], cross-disciplinary approaches, scholarship and pragmatism, and integrity (Michigan State University, 2003). In 2003, the office name was changed to University Outreach and Engagement (UOE) and in 2004, the Outreach and Engagement Measurement Instrument (OEMI) was introduced. The OEMI

gathers numerical data about the institution's outreach/engagement activities along seven dimensions: (a) time spent, (b) societal issues, (c) boldness by design imperatives, (d) forms of activity, (e) locations, (f) non-university participants, and (g) external funding and in-kind support. (Michigan State University, 2011)

By 2005, MSU established the National Center for the Study of University Engagement (NCSUE). The NCSUE studies “the processes, relationships, and impacts of outreach work on engaged faculty, the academy, and communities” (Michigan State University, National Center for the Study of University Engagement, 2009a). In 2006, The Community Evaluation and Research Center (CERC) was established that “acts as a hub for program evaluation activity across MSU. CERC provides training in evaluation and community-based participatory research, and conducts formative (planning) and summative (outcome) evaluations” (Michigan State University Community Evaluation and Research Center, 2009b). Potential candidates for interviews included:

- President, Michigan State University
- Provost, Michigan State University
- Associate Provost, University Outreach and Engagement
- Assistant Provost, University-Community Partnerships
- Director, MSU Detroit Center
- Director, National Collaborative for University Engagement
- Director Partnerships, Strategic Doing Community Action Initiatives
- Research Specialist, National Collaborative for the Study of University Engagement
- Director, Center for Community and Economic Development
- Director, Julian Samora Research Institute

- Director, Community Evaluation and Research Center
- Director, Usability/Accessibility Research and Consulting
- Director, Center for Service-Learning and Civic Engagement
- Associate Director, University-Community Partnerships
- Executive Director, Wharton Center for Performing Arts

Research Sample and Data Sources

Purposeful sampling was used to select key participants who were or are involved with the outreach and engagement organization. Purposeful sampling is a “strategy in which particular settings, persons, or events are deliberately selected for the important information they can provide that cannot be gotten as well from other sources” (Maxwell, 2008, p. 235). Since the purpose of this research was to understand the criteria and processes university engagement staff use to identify, evaluate, and communicate the program expectations of planned engagement activities, purposeful sampling of primary participants provided me with information-rich cases that illuminated the questions under study. Snowball or chain sampling was used to identify information-rich key informants and critical cases (Patton, 2002). Data were collected from participants and staff who were involved with the institution’s outreach and engagement activities. Interviews were conducted with departmental leaders, staff, and faculty who were involved with the development and maintenance of university partnerships with external entities. In addition to asking the standard pre-planned questions of inquiry, the interviewer asked whether there were others that could be referred to for more in-depth information (closer to a primary resource). During the visits, I interviewed a minimum of ten to twelve people from the selected institution—some people were interviewed multiple times over

the course of three visits allowing me to inquire deeper into the issue or question. Each interview will took approximately 90 minutes. However, the interviewer did not discount opportunistic or emergent sampling if an opportunity to interview a particularly information-rich participant arose. All participants' rights were protected and all research conformed to the conventions of research ethics and the Institutional Review Board (IRB) process.

Other data sources included emails, minutes of meetings, memorandums of agreement/understanding, presentations, web-based documents, historical files, records, artifacts, and any other documents that were pertinent and could contribute to the research. I also sought opportunities to attend specific meetings that may have addressed or shed light on the research subject (i.e., strategic planning meetings, etc.).

Instruments and Procedures

I visited the MSU campus three times over a three-month period. Attempts were made to schedule at least one visit around a strategic planning event that was conducted by the sample organization. This allowed me to examine the deeper subtleties of the organization as well as permit time between visits to compile and digest data and information. During each one-week visit, approximately three days were taken up with interviews and two days for data collection from other data sources. Interviews were conducted with a minimum of ten to twelve key staff who were involved with directing and overseeing the university's outreach and engagement efforts. Some subjects were interviewed multiple times during the three visits. Initially, letters were sent to a primary representative of the organization explaining the nature of the research and requesting his/her organization's participation in the study. A follow-up telephone call was made

with the site host to discuss the intent of the research, request the participation of the staff in the outreach and engagement department, inquire about additional participants, request that he/she introduce the research effort to the staff, and establish dates to visit the campus.

Letters were sent to all volunteer participants introducing the research and requesting to schedule a 90-minute interview during the researcher's visit to the campus (see Appendix B). A sample of the interview questions (see Appendix C) and an Informed Consent Form (see Appendix D) were sent to the interviewee prior to the interview. Telephone calls were made to each participant to schedule and verify meeting/interview times and locations during the week of the visit to the campus.

In addition to pre-planned questions, I reserved the right to ask open-ended indirect questions that might arise during the interview. The intent of the interview was to focus on the lived experiences of the participants seeking to obtain open and rich descriptions of the participants' experiences and their interpretation of program criteria and processes. I solicited descriptions of specific situations and action sequences, avoiding generalizations and sweeping statements; however, observed any ambiguities that may have reflected contradictions and inconsistencies. The aim was to invoke a positive interview experience that allowed the interviewee to provide a well-balanced and accurate account of events, impressions, experiences, and decisions about the criteria and processes staff use to identify, evaluate, and communicate program expectations for planned engagement activities or potential partnerships with external entities. With the consent of the interviewee, I recorded and transcribed all discussions. To add an element of member checking or respondent validation, all interviewees were provided an

opportunity to review, comment on, and/or correct any transcriptions made of their particular interview—whether word-for-word if recorded, or a synopsis of the discussion if they are not comfortable with recording the interview. Following the pre-established questions, I asked the interviewees if they had any other comments they may wanted to add that may assist with the research. I also asked the interviewees if there were any other people that he/she should interview who could provide a different perspective or deeper and richer account of events or activities about the research topic. Finally, I asked the interviewees if there were any documents that could be accessed that would assist with the research such as memorandums, emails, historical files, records, minutes, etc.).

Immediately following each interview I compiled personal, methodological, and theoretical notes and memos for the record. These notes included a summary of substantive and theoretical ideas, and any noteworthy personal issues that may have arisen during the interview.

Data Collection

Data were collected from documents and interviews with individuals and participants involved in outreach and engagement activities at Michigan State University. Penn State University followed by Oregon State University were considered as alternatives for participation if Michigan State University was not available to participate in the study. The focus of the interviews was on the primary decision-makers and other participating individuals who were or are involved with the planning of university engagement activities and establishment of partnerships between the university and external entities. This provided me with a varied perspective of the organizational structure, events, politics, and decisions that occur during the planning and establishment

of partnerships between the university and external entities. I used multiple sources and techniques to gather data including interviews, observations, pertinent documents (archived records, emails, memorandums of agreement or understanding, meeting minutes, mission statements, planning documents, etc.), and other writings and recordings to support this study.

Researcher notes and recordings were compiled and electronically organized in a format that could be analyzed using QSR NVivo qualitative data analysis software. Access to the database was password protected following recommendations established by the University of Denver's Technology Services (UTS) password/passcode policy. All electronic/digital recordings, files, notes, and subject identifiers were stored securely on a password protected, stand-alone network. Hard copy data that was collected was stored in a locked and secure location accessible only to the primary investigator. Only data pertinent to the study was collected or recorded. Communication and documents that were transmitted via a public network were encrypted to ensure security of information. All subject identifiers were removed and/or destroyed as they were no longer needed. Any unanticipated breach of confidentiality of the research data was reported to the University of Denver's Institutional Review Board within 30 days of becoming aware of the event. No breach of confidentiality was detected or reported.

Applying Case Study Research Methods to Michigan State University

The section will provide the reader with detailed procedures and protocols regarding how I conducted case study research to gain an understanding of how the outreach and engagement staff at Michigan State University identify, evaluate, and communicate program expectations with partners external to the institution. Another way

of stating the intent is to ask an exploratory question, *How does the staff at Michigan State University manage program expectations for their engagement activities with external partners?* A second purpose of the study is to gain an understanding of how the staff at Michigan State University systematically approach the process of building relations with external entities or partners.

The primary unit of analysis was the staff at Michigan State University's Office of Outreach and Engagement. Other units of analysis were MSU personnel involved in engagement activities who were not employed directly with its outreach and engagement offices. In addition, if available, external partners were interviewed to gain an outsider's perspective on program engagement management. Other data points included observations, pertinent documents (archived records, emails, memorandums of agreement or understanding, meeting minutes, mission statements, planning documents, etc.), and other writings and recordings to support this study. It is important to note that many formal criteria and processes were or are not firmly established at MSU. Furthermore, some criteria and processes were perceived and employed differently by various individuals throughout the organization and enterprise. Different individuals employed different criteria and processes to similar issues or activities. Interviewing, observation, and the review of supporting data resources assisted in informing me with respect to how the organization as a whole establishes processes and criteria to identify, evaluate, and communicate program expectations for engagement activities.

Sequence of Research Activities

Initial research activities involved complying with the University of Denver's Institutional Review Board protocols, policies, and procedures, establishing

communications with MSU's host and participants, and scheduling visitation dates to the campus. During each visit to the MSU campus, I focused his efforts on specific data collection activities such as introducing the study to participants, scheduling and conducting interviews, observing key meetings, forums, and conferences, and gaining access to and collecting supporting documents and data. Between visits to the campus, I transcribed documents, scheduled additional interviews, input data into the QSR NVivo software database, and composed follow-up questions. The following section provides details of these research events.

Preliminary communications. I first establish preliminary communications with the primary contact or host at MSU. The host, the Associate Provost for University Outreach and Engagement at MSU, has the authority to approve research studies of the organization and provide access to key personnel, informants, and supporting data sources. The Associate Provost for University Outreach and Engagement also assisted in introducing the case study to personnel at MSU. This individual was the primary contact or host for me at MSU and the conduit who assisted in directing I toward appropriate key informants and data sources. However, it is important to note that other staff at MSU were asked to provide access to data sources and key informants who were able to provide a broader perspective on the research subject and additional data sources.

Approvals and permissions. An introductory email was sent to the Associate Provost for University Outreach and Engagement providing him with an abstract of the proposed research study and requesting approval to conduct the study at the MSU campus. A preliminary informal approval to conduct this research was granted to the researcher. A formal letter of permission for the use of data/samples was attained from

the Associate Provost for University Outreach and Engagement. This letter of permission is required by the University of Denver's Institutional Review Board. The letter from MSU provided me with permission to use and analyze MSU's Office of Outreach and Engagement current and archival data samples expressly for the purpose of this dissertation research project. It also granted permission for me to recruit employees of MSU's office of Outreach and Engagement for the purpose of the research project. Finally, it stated that information gathering would be done in a confidential and appropriate manner and that no individually identifiable information, including images of subjects, would be published, shared, or otherwise disseminated.

University of Denver's Institutional Review Board. Prior to beginning the proposed research project, all appropriate materials and paperwork were submitted to the University of Denver's Institutional Review Board (IRB). The University of Denver uses IRBNet to submit research proposals to its IRB. Because the research involved minimal risk to subjects, an exemption application was submitted to the University of Denver's IRB. The following materials and data were submitted to the University of Denver's IRB via IRBNet:

- University of Denver IRB Application Form.
- Application for exemption from full IRB review.
- A letter of permission from MSU for the use of data/samples.
- A copy of the Informed Consent Form (see Appendix D).
- A sample of the researcher's questions and protocols (see Appendix C).

No research was conducted until approval was granted by the University of Denver's IRB.

Establishing a Presence at Michigan State University

As the Principal Investigator (PI), I made initial preliminary contact via email with the Associate Provost of University Outreach and Engagement at Michigan State University (Appendix A). The letter of inquiry was sent to the Associate Provost of MSU's UOE (AP UOE) following the approval of the dissertation proposal by the dissertation committee; however, prior to approval of the proposal by the University of Denver's (DU) Institutional Review Board (IRB). The intent was to seek tentative approval from the AP UOE to participate in this case study pending final approval by DU's IRB. Within a few hours of sending the initial email the PI received a response from the AP UOE indicating he was "happy to participate" and would be "delighted if [I] were to visit MSU in the coming months" (Appendix G). Once final approval was granted by DU's IRB and communicated to the AP UOE, the following documents were forwarded to the AP UOE and a phone meeting was established to discuss details of the research project:

1. An abstract of the research agenda (Appendix H)
2. A list of potential interviewees at MSU
3. Signed IRB Approval form
4. A list of initial questions for interviewees (Appendix C)
5. Informed Consent form (Appendix D)

The AP UOE offered the assistance of his Executive Secretary to help with scheduling interviews, reserving meeting rooms, accessing and distributing materials, and any other logistics required for the research. This unexpected and valuable assistance provided me with exceptional access to MSU interviewees' schedules, archived

documents, room access, and many of the logistical details of the research initiative including hotel room reservations, transportation, and communications. Along with forwarding advance documents about the research project, three, five-day visitation dates were established during 2014; 3-7 February, 10-14 March, and 7-11 April.

Visitation Agenda

It is important to provide the participants and key informants with an introduction to the case study that the researcher will be conducting. However, there is a danger in cultivating and using key informants in that “the researcher comes to rely on them too much and loses sight of the fact that their perspectives are necessarily limited, selective, and biased” (Patton, 2002, p. 321). Prior to visiting the MSU campus, I provided the primary contact/host at MSU a memorandum of introduction that outlines the purpose and intent of the research and a sample list of questions that will be asked during the interviews. The intent of the memorandum was to solicit names of potential participants for the study and provide a general introduction to the research project to potential participants. Initial communications with the host focused on soliciting names and permission of qualified people who would be interested in participating in the study. Participation was initially requested from people who work directly for the Office of Outreach and Engagement, personnel that are involved in engagement activities at MSU, and personnel outside of the institution who are involved with an engagement activity or partnership at MSU. Secondary participants were solicited from the primary participants during the introductory meeting and following each interview. An introductory letter was sent to all potential participants prior to visiting the campus (see Appendix B). This letter provided the participant with an overview of the research study, contact information, and

request for participation and interviews during a scheduled visit to the campus by the researcher.

First visit to MSU. The primary focus of the first visit to the MSU campus was to introduce the study to the initial participants, conduct interviews with the initial participants, solicit for referral participants, and gather supporting documentation and data.

Introduction agenda. On the first day of the initial visit, a one-hour introductory meeting was held with all available participants. Eight of 14 interviewees were present at the one-hour introductory meeting. The six participants who did not attend the introductory meeting were given an overview of the research project at the beginning of each interview. Although all handouts were forwarded to all participants in advance, copies of the Research Abstract (Appendix H), Interview Questions (Appendix C), and Informed Consent form (Appendix D) were distributed to all attendees at the initial introduction meeting. Following introductions of the participants and PI, the PI provided an overview of the research project with a supporting PowerPoint presentation (Appendix L). Time was spent reviewing all the interview questions, clarifying instructions, and answering questions from the volunteer participants. The Informed Consent form was also reviewed and questions about confidentiality and data requirements were answered. To maintain confidentiality, participants were informed that identifiable contact information would be omitted for any published documents. Following the introductory meetings, I contacted each participant individually to schedule an initial 90-minute interview. An attempt was made to schedule all initial interviews with subjects during the first visit to the campus; however, schedule conflicts prohibited all initial interviews

to be conducted during the first visit. Subsequently, initial interviews were conducted during the second or third visits depending on the availability of the participant.

The focus of the first interview with each individual participant was to review and ask all the primary interview questions (see Appendix C). Nonetheless, time restraints and the complexity of participants' answers inhibited the researcher's ability to ask all the questions in one 90-minute interview session. A second or third interview was necessary to complete the interview questions and allow for follow-up questions. Follow-up questions included clarification of answers and/or a deeper explanation of a specific process or phenomenon. Furthermore, each initial participant was asked if he/she could recommend any individuals or groups who might be able to provide another perspective as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities. If necessary, additional interviews were requested and scheduled at the conclusion of each interview and scheduled during successive visits to the campus.

Several hours were allocated to collect and initially review current and archived data. Requests for these data were made throughout the researcher's interactions with the participants at MSU. Time and institutional permission to access data were occasionally required to visit the campus library or administrative offices to access certain documents or data.

Interview agenda. Ninety-minute interviews were scheduled with each participant (interviewee). Most initial interviews ran about 90 minutes; however, three interviews exceeded the 90-minute timeframe. One initial interview lasted two hours and 30 minutes. Of the six people who were interviewed a second time, the second

interviews averaged 30 minutes in length. All interviews were scheduled in a quiet room where interruptions were minimized thus allowing a clear recording to be made. Most of the interviews were conducted in the interviewee's office; however, in some cases where interviewee's offices were not available or on site, a suitable conference or meeting room was secured for the interview. Twenty interviews were conducted with 14 individuals during the three visits to MSU. Six individuals were interviewed a second time to gather more detail and clarification from the first interview. For those individuals who were not present at the introductory meeting, prior to beginning each interview, an overview was provided using the PowerPoint presentation (Appendix L) as a guide for the overview. A copy of the PowerPoint presentation was provided for those individuals. The following individuals were interviewed:

Provost, Michigan State University

Associate Provost, University Outreach and Engagement

Assistant Provost, University-Community Partnerships

Associate Director, University-Community Partnerships

Associate Director Partnerships, Strategic Doing Community Action Initiatives

Director, Center for Service-Learning and Civic Engagement

Director, MSU Detroit Center

Director, National Collaborative for University Engagement

Director, Center for Community and Economic Development

Director, Julian Samora Research Institute

Director, Community Evaluation and Research Center

Director, Usability/Accessibility Research and Consulting

Executive Director, Wharton Center for Performing Arts

Research Specialist, National Collaborative for the Study of University Engagement

All interviews began with a brief overview of the research project. Each participant was provided a Research Abstract (Appendix H) and allowed an opportunity to ask questions about the research effort prior to beginning the formal interview questions. The PI also asked if there were any additional questions regarding the Informed Consent form or its contents. Each interviewee was asked the series of questions in the sequence that they appeared on the questionnaire, and at the conclusion of each interview whether there were any additional questions and comments.

Second visit to MSU. The focus of the second visit to MSU was to introduce study to referred participants, conduct first interviews with referred participants, conduct initial interviews with participants that were not interviewed during the first visit, conduct second interviews with participants, collect additional documents and data, and observe any pertinent meetings or events that support the research effort.

Observations of specific meetings or events included institutional or departmental strategic planning meetings and meetings or gatherings with external partners. Although these types of meetings or gatherings may have occurred during the researcher's first visit to the campus (e.g., departmental meetings), the primary focus of the first visit was to introduce the participants to the study, conduct the first round of initial interviews, identify referral participants, and begin gathering documentation and data. If possible, the second or third visit was scheduled around any potential departmental- or institutional-level strategic planning forums, conferences, or symposiums.

Third visit to MSU. The focus of the third visit to MSU was to (a) conduct first interviews with referred participants, (b) conduct initial interviews with participants that

were not interviewed during the first or second visits, (c) if necessary, conduct second or third interviews with participants, (d) collect additional documents and data, (e) observe any pertinent meetings or events that support the research effort, and (f) provide the participants with a wrap-up and opportunity to provide any final input regarding the study.

At the conclusion of the third visit, I conducted a wrap-up meeting with the host at MSU. The host was provided a general overview of initial observations, an opportunity to provide me with any additional comments or data, and an open forum for questions and answers. I also provided all participants with contact information if they should choose to submit additional documentation or data after the third visit.

Between visits to MSU. Between visits to MSU, I focused on (a) transcribing audio recordings, (b) scheduling initial and follow-up interviews, (c) contacting referred participants (d) initially analyzing data and inputting data into the QSR NVivo software database, and (e) composing follow-up questions.

With the permission of the participant, each interview was recorded. I transcribed all interviews and input all transcripts into the QSR NVivo software database. An initial analysis of data was conducted by me in an effort to glean potential follow-up questions for future interviews or requests for specific additional data or documents. Interviews—whether initial, referred, or follow-up—were scheduled during the interim between visits. Finally, I composed a list of follow-up questions for subsequent visits to the campus. These follow-up questions were directed at a specific participant or to the participants in general. Follow-up questions included clarification of answers and/or a deeper explanation of a specific process or phenomenon.

The Evolution of Questions

It was apparent after the first introductory meeting that the PI needed to modify the research questions to accommodate specific language that staff at MSU used to refer to engagement activities. During the introductory presentation, specific questions were asked for clarification. For example, there was a question raised regarding the definition of an external entity. This was clarified during the initial introductory meeting; however, this clarification needed to be made with those individuals who were not present at the initial meeting. Furthermore, the words ‘partnership expectations’ were substituted for the words “program expectations” to clarify the questionnaire and accommodate locally used terminology. The original 19 questions were amended to accommodate local language terminology preferences and to sharpen the focus of the questionnaire (Appendix E). During the interviews, interviewees first tended to answer the primary questions by describing their job. Probing questions had to be asked to move them beyond “what they do” to “how they do it” or the specific criteria and processes that they employ.

Recording and Transcribing

All but one interview were recorded on an Olympus digital voice recorder (Model # VN-8100PC). At the conclusion of the interviews, all digital recordings were transferred to a standalone personal laptop computer and filed electronically by individual and visitation date. Digital recordings were then erased from the digital recorder. All recordings were transcribed by the primary investigator into Microsoft Word and electronically filed by individual and date. Detailed notes were taken while transcribing the audio recordings. These notes included follow-up questions for those

individuals who were interviewed twice. Within two weeks of each interview, all transcriptions were sent electronically as an attachment to each corresponding interviewee for review, comments, and validation. Four out of 20 transcripts were returned with comments and corrections. Transcripts were then inputted into the QSR NVivo 10 data analysis program.

Ethics

All participants are identified in Appendix K. Each participant was provided an Informed Consent form (Appendix D) and, as an effort to bring a unified voice to this research, all participants are identified and referred to as *interviewee*. Although the institution studied is clearly identified as Michigan State University and all interviewees are employed as staff of MSU (Appendix K), the identity of individuals' comments or quotes will remain confidential throughout the text of this document. I was committed to conducting the interviews and providing conclusions and recommendations with integrity and honest disclosure of results and interpretation of findings.

Data Analysis

After all data were collected, I coded and entered all data into a qualitative data analysis software database (QSR NVivo). "NVivo is software that supports qualitative and mixed methods research. It lets you collect, organize and analyze content from interviews, focus group discussions, surveys, audio, . . . social media data, YouTube videos and web pages" (QSR International, 2013, para. 1). QSR NVivo allowed me to deeply analyze data using search, query, and visualization tools, uncover subtle connections, add insights and ideas, and rigorously justify findings (QSR International, 2013).

Based on the literature presented in chapter two, the following conceptual model was presented:

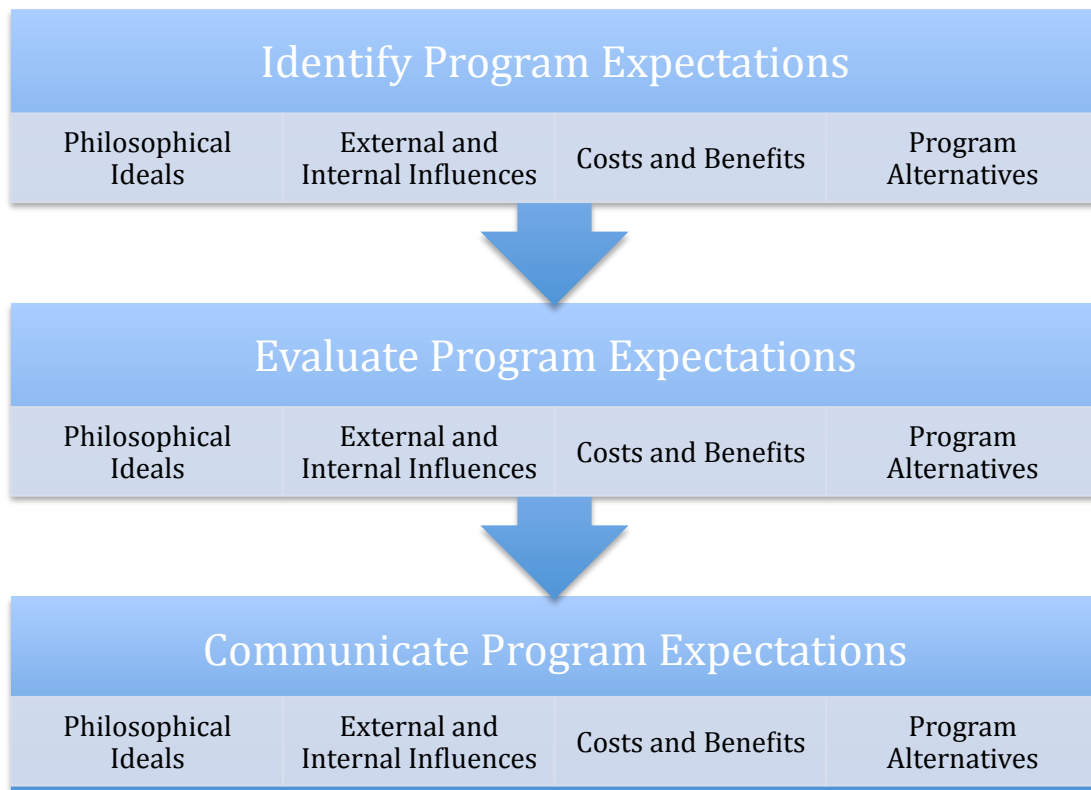


Figure 2. *Engagement Management: Managing program expectations to support relationship building.*

This model or template was used as an initial reference point to categorize data as it was being collected and inputted into the QSR NVivo software database. A detailed content analysis was conducted using the QSR NVivo software program. Content analysis allowed me to quantify and analyze the presence of relationships and meanings within text, words, or sets of text. It allowed me to make inferences about messages within the text. Text can be gleaned from interviews, documents, concepts, and discussions, to name a few. Hsiu-Fang and Shannon (2005) describe three approaches to qualitative

content analysis—conventional, directive, and summative. Conventional content analysis is used to describe a phenomenon that has limited existing theory or research literature. Categories of trends and commonalities emerge from the data as it is analyzed.: “Categories are patterns or themes that are directly expressed in the text or are derived from them through analysis” (Hsiu-Fang & Shannon, 2005, p. 1285). Directed content analysis is used when existing literature is incomplete.: “The goal of a directed approach to content analysis is to validate or extend conceptuality a theoretical framework or theory” (Hsiu-Fang & Shannon, 2005, p. 1281). Codes and categories are predetermined from previous research and also emerge from the data as it is analyzed. Summative content analysis extends beyond counting key words and phrases to include latent content analysis. Latent content analysis is the process of interpreting content to discover underlying meanings of the content or words. Categories and key words are identified by the researcher based on his or her interest before and during data analysis. All approaches are similar and require the researcher to define categories, outline a coding schema, implement a coding process, determine trustworthiness of data, and analyze the results. This study primarily approached the data analysis from a conventional content analysis perspective. The advantages of conventional content analysis is that it can provide much insight into the complex models of human thought and language use, and directly looks at communications via text or transcripts.

The data were evaluated and analyzed for themes, commonalities, canons, criteria, and processes that outreach and engagement staff use to identify, evaluate, and communicate the (a) program expectations, (b) costs and benefits, and (c) philosophical ideals, and (d) program alternatives for planned engagement activities or potential

partnerships with external entities. During the analysis, I focused more on a holistic approach concentrating on criteria and processes used to identify and evaluate program expectations. The following questions guided the analysis: How were relationships developed? Were there economic or social incentives or pressures to establish a partnership? If so, what was the nature of the pressures or incentives? Were relationships already established prior to the partnership, or were they nurtured during the process of developing the partnership? If so, how did these relationships mature into a partnership? What were some of the concerns that may have made people hesitant about a partnership—prestige, economics, autonomy, control, political security, etc.? These themes and pressures arose as the data were analyzed. When analyzing the data, it was interesting to compare different engagement activities to ascertain whether themes and commonalities existed from one activity to another, or one venture or collaborative partnership to another. Or, perhaps certain themes were prevalent in certain types of partnerships.

Finally, I prepared this report by first stating the initial questions, describing the methods used to interview, and reviewing documents as well as any potential flaws in the methods that may have arisen during the data collection process. I also included information about how I collected the data, analysis techniques, significant observations, and events that were identified and described during the establishment of partnerships or collaborative venture between the university and external entities. I attempted to provide examples of successes, disappointments, and the illumination of issues and themes identified during the research. The text is interspersed with quotes and other details extracted from the interviews and documentation. Conclusions include recommendations

founded on best practices, conflicting or confirming findings or observations, any conflicting or confirming findings or observations, and provide suggestions for further research.

Data entry and categorization. Data are comprised of audio and written transcripts of interviews with staff at MSU, documents in the form of PowerPoint presentations, organizational strategic plans, status and classification reports, promotional brochures and pamphlets, web pages, articles, and publications. Most documents are available online and are referenced in the bibliography section of this paper. Documents are in web page, Microsoft Word (.doc), PowerPoint (.ppt), and portable document formats (PDF). All documents and audio files (MP3) were transferred into QSR NVivo data analysis software. Data were first sorted by three types: audio files, interview transcripts, and MSU documents. The audio files folder contained all the MP3 audio files of interviews and notes (19 files). The interview folder contained all written transcripts of the interviews (19 files). The MSU documents folder contained all other documents (28 files).

NVivo is a qualitative data analysis software program that allows researchers to collect, organize, and analyze unstructured data such as interviews, focus group discussions, audio, videos, social media, web pages, and surveys. Nodes are a compilation of references regarding a specific person, place, theme, or other area of interest. In this instance, each research question represents a specific theme or area of interest. The four primary and secondary research questions were entered into QSR NVivo as four specific nodes. Correspondingly, each of the 23 interview questions were also entered in as individual nodes.

Using QSR NVivo, relationships are defined as statements about how items are connected. One-way, symmetrical, and associative relationships are created to indicate how participants and concepts are related. One-way relationships establish a relationship between items that have a definite direction (e.g., Bob “employs” Fred). Symmetrical relationships establish a two-way activity between items (e.g., Bob “works with” Fred). Associative relationships establish an affiliation between items (e.g., Bob “knows” Fred). Associative relationships were established between the four research question nodes and each associated interview question node. Figure 7 provides a depiction of the associative relationship between each research question and each of the specific interview questions.

Associative Relationships	
<i>Research Question (Node)</i>	<i>Corresponding Interview Question (Node)</i>
Primary Research Question1	Questions 2, 6, & 14
Primary Research Question 2	Questions 1,5,7, & 13
Secondary Research Question A	Questions 8, 9, 10, & 11
Secondary Research Question B	Questions 6, 6a, 7, 8, & 9

Figure 3. *Associative relationships between research and interview questions.*

Four elements of engagement management. Primary categories or folders (nodes) were created based on the framework of the four elements of engagement management: (a) philosophical ideals, (b) external and internal influences, (c) costs and benefits, and (d) program alternatives. Three program elements were further subdivided: Philosophical ideals were subdivided into instrumental values and immanent values; external and internal influences were subdivided into economic and social influences; and

costs and benefits were subdivided into tangible and intangible costs and benefits. The category of program alternatives was not further subdivided. Figure 3 illustrates the flow of nodes that were established to categorize data for further analysis.

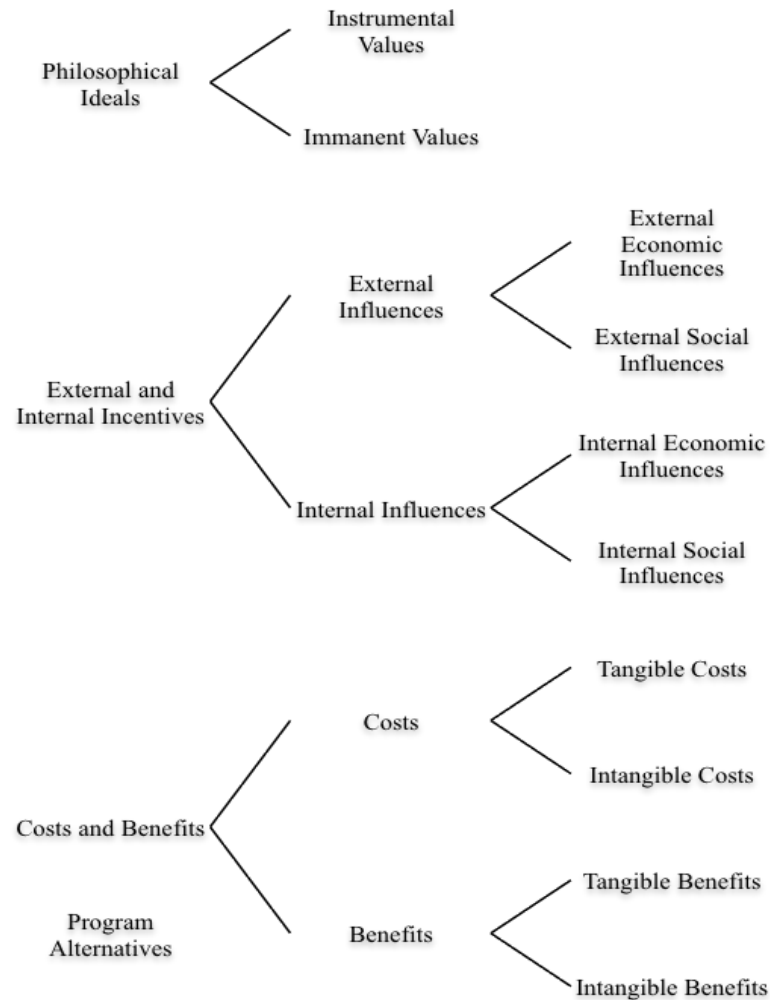


Figure 4. *Data nodes for categorization and analysis.*

Interview questions. Each interview question was entered into QSR NVivo as an individual node (17 nodes) and identified as a criteria question or process question. Associative relationships were established between the criteria and process nodes and each interview question node. For example, question number one asks: “Describe the *process* you use to plan tour outreach and engagement program strategy?” was identified

as a process question. Question number two which asks: “What *criteria* do you use to determine your organizational mission and priorities?” was identified as a criteria question. Figure 4 depicts which interview questions were identified as process or criteria questions.

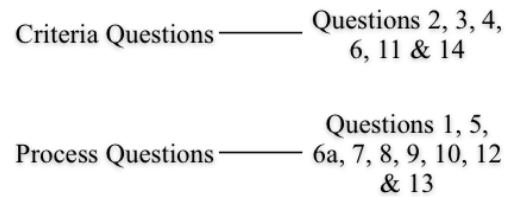


Figure 5. *Associative relationships between criteria and process nodes and interview question nodes.*

Transcribed interview answers to each question were transferred into its corresponding node. Figure 5 provides a sample diagram of the categorization of interview questions.

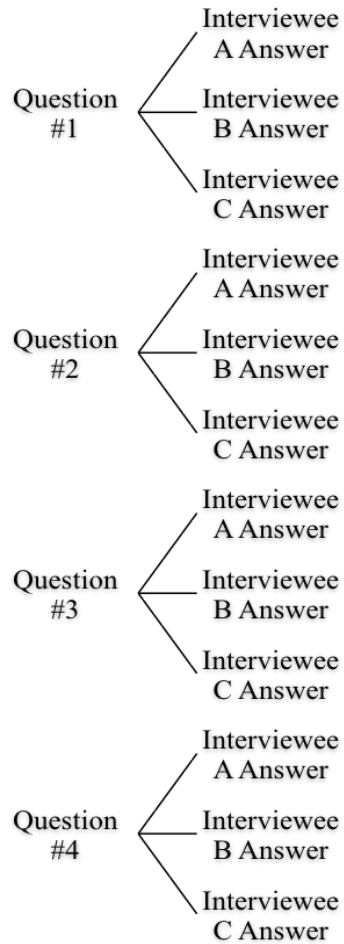


Figure 6. *Interview questions and answer nodes.*

Associative relationships were established between the nodes of the four elements of engagement management (philosophical ideals, external and internal influences, costs and benefits, and program alternatives) and specific questions from the modified questionnaire (Appendix E). Figure 6 presents a diagram of the associative relationships.

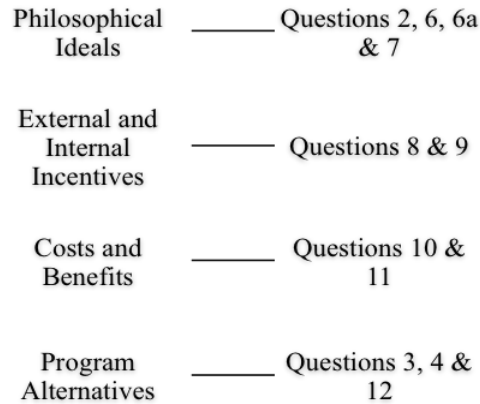


Figure 7. *Associative relationships between interview question nodes and the four elements of engagement management nodes*

Document review. Twenty-eight documents in web page, Microsoft Word (.doc), PowerPoint (.ppt), and portable document formats (PDF) were entered into QSR NVivo. Each document was reviewed and queried using key search terms and Boolean logic. Key search terms were related to the four elements of engagement management, primary and secondary research questions, and criteria and processes.

Role of the Researcher

As the researcher, it is important that he/she explain any relationship that they have to the phenomenon or area of study. Patton (2002) reflects that

The personal, perspective-dependent nature of observations can be understood as both a strength and a weakness, a strength in that personal involvement permits first-hand experience and understanding, and a weakness in that personal involvement introduces selective perception. (p. 329)

My interests in understanding the dynamics of how universities plan, organize, and execute higher education partnerships and engagement activities with external entities date back to the early 1990s when I managed the off-campus training centers for the University of Maryland's University College. One of my primary responsibilities was to

represent the larger University System of Maryland (USM) and its eleven public institutions as its liaison between community and business leaders in Maryland and the state's public higher education leaders to expand educational opportunities into the counties. This responsibility provided me with first-hand experience working with academia and external businesses, politicians, and community organizations to investigate and establish partnerships between two or more entities. During that time, other than community colleges, most universities that I worked with—even public land-grant universities—typically did not have departments, organizations, or individuals solely dedicated to institutional and community engagement. Outreach activities were primarily conducted by the student services organization. Most engagement activities with external entities were established between an individual faculty or staff member and an external entity, with the administration intervening with the legal issues of contracts and memorandums of agreement after the details of the partnership were established. Very few institutions with whom I worked with appeared to have a purposeful and strategic approach to their engagement activities. My observation was that if a university did employ someone to conduct engagement activities, there was very little leadership guidance provided to the individual about how to conduct those outreach and engagement activities. Subsequently, the individual used his or her entrepreneurial and relationship-building instincts to conduct their activities and establish key partnerships between the institution and external entities. These early observations and biases need to be acknowledged as I examine the data and provide my conclusions.

However, since that time universities have become much more sophisticated and strategic in their approaches to conducting outreach and engagement activities. There are

many reasons as to why more recently universities have been expanding their outreach and engagement organizations. Most universities have now established dedicated individuals or departments within the university to plan and conduct strategic outreach and engagement activities and services. Some universities are very sophisticated in their approach to conducting engagement activities while other universities are still in their infancy—defining the role and gauging the effectiveness of the organization to its internal and external constituents.

These experiences have provided me with a certain, admittedly sometimes partial perspective as to how academia views and approaches the activities of an organization within the university conducting outreach and engagement activities. It was imperative that I conduct my research aware of these biases and that I did not slant the structure of my research design or findings to produce a predestined result. As a researcher, I am aware of any personal or observer biases that I may bring to the research. Gay (1996) describes experimenter effects as being either passive or active. Passive elements include “characteristics or personality traits of the experimenter such as sex, age, race, anxiety level, and hostility level” (Gay, 1996, p. 354). She describes active biases as “researcher’s expectations [that] affect his or her behavior and hence outcomes. . . . The way an experimenter looks, feels, or acts may unintentionally affect study results” (p. 354). Being aware of experimenter biases helped to reduce the possibility of affecting my subjects’ behavior or inaccurately interpreting their behavior or responses; hence, jeopardizing the validity of my results.

Since interviews were the primary data collection method, it is important that, as the interviewer, I did not “unconsciously give the subject subtle signs of approval and

disapproval of different responses that will tend to encourage the subject to give the approval answer whether it is true or not” (Borg & Gall, 1989, p. 188). To avoid this type of observer bias, the interview questions were structured to avoid leading questions that may have provided the interviewee with clues to the preferred answer. Questions were designed to avoid threatening, embarrassing, or annoying the interviewee that may lead to false or unsatisfactory replies. I was aware of any efforts to place undue emphasis on behavior that conforms to the researcher’s bias or expectations. Finally, I was aware of anticipated outcomes that may cause me to manipulate observers’ expectations and skew the results (Borg & Gall, 1989).

Patton (2002) writes that “observers must make some effort to observe themselves observing—and record the effects of their observations on the people observed and, no less important, reflect on changes they’ve experienced from having being in the setting” (p. 328). As the researcher, after each interview I spent considerable time reflecting on the interview—processes, behaviors of myself and the interviewee, reactions to questions, the environment, and verbal and physical responses, to name a few.

Limitations of this Study

Qualitative research has several strengths. These include its potential to describe and interpret complex inter-relationships with multiple variables, to identify processes involved in casual relationships, and provide a great amount of description and detail about a case. However, there are some limitations that the qualitative researcher must be aware of during the development of their methodology and the collection and analysis of the data. One limitation is that there can be a tremendous amount of data that needs to be analyzed. Compiling and analyzing detailed documents and transcripts of interviews can

be very time-consuming and overwhelming. I must occasionally decide what has to be omitted from the submitted data. This may taint or skew the data analysis or results (Hodkinson & Hodkinson, 2001). Hodkinson and Hodkinson assert a number of other limitations of case study research to include:

1. It can be very expensive if done on a large scale;
2. Because the phenomenon is often complex, it can be difficult to simplify;
3. Data does not easily lend itself to numerical representation;
4. Results are typically not generalizable in the conventional sense;
5. Those who do not agree with the message are prone to dismiss the results; and
6. Case studies often cannot answer relevant and appropriate research questions. (pp. 8-10)

Patton (2002) surmises that interview data has its limitations to include the “possibly distorted responses due to personal bias, anger anxiety, politics, and simple lack of awareness since interviews can be greatly affected by the emotional state of the interviewee at the time of the interview” (p. 306). Recall error and self-serving responses can also alter the outcome of interview data. Providing the interviewee with the opportunity to review transcripts and make additional comments or corrections to their comments helps to reduce the risk of validity errors.

The fact that the methodology called for a non-random selection of people to interview could potentially pose a threat to the validity of the research. The intent was to gain a better understanding of the phenomenon of establishing calculated relationships that result in successful partnerships or engagement activities between public universities and external entities. Today’s universities are employing staff within outreach and

engagement organizations to strategically guide these efforts. Purposeful sampling participants allowed me to initially select staff who lead these organizations and possessed a rich knowledge of the establishment, operations, policies, and procedures that are used to nurture, establish, and engage in these partnership activities. Snowball or chain sampling was used to gain access to staff who may have a richer knowledge or different perspective of the history and organizational aspects of the institution's outreach and engagement activities. I also considered the possibility that primary resources may recommend secondary interviews with staff who agree or support a certain point of view.

The principal investigator is the primary instrument of data collection and analysis and, as such, is the person who focuses and steers the research and analysis efforts. Instincts, experience, and abilities were employed and guided the direction of the qualitative research project. Guba and Lincoln (1981) describe an "unusual problems of ethics. An unethical case writer could so select from among available data that virtually anything he wished could be illustrated" (p. 378). This preconceived observer bias can affect the validity and reliability of the data as well as the research conclusions and results.

Although case studies usually examine one or a few individual cases or phenomenon, the issue of generalizability is often used to criticize the results of a study. However, much can be learned from a particular case study. Merriam (2009) uses Erickson's (1986) argument to surmise that, "since the general lies in the particular, what we learn in a particular case can be transferred to similar situations. It is the reader, not the researcher, who determines what can apply to his or her context" (para. 3). Merriam

also adapts Flyvberg's five misunderstandings about case study research (Table 1) to restate some of these misconceptions about the generalizability of case study research.

Table 1

Adopted by Merriam from Flyvberg, B. (2006). Five misunderstanding about case-study research. Qualitative Inquiry, 12(2), 219-245.

Misunderstanding	Restatement
General knowledge is more valuable than context-specific knowledge	Universals can't be found in the study of human affairs. Context-dependent knowledge is more valuable.
One can't generalize from a single case so a single case doesn't add scientific development.	Formal generalization is overvalued as a source of scientific development; the force of a single example is underestimated.
The case study is most useful in the first phase of a research process; used for generating hypotheses.	The case study is useful for both generating and testing of hypotheses but not limited to these activities.
The case study confirms the researcher's preconceived notions.	There is no greater bias in case study toward confirming preconceived notions than in other forms of research.

Misunderstanding	Restatement
It is difficult to summarize case studies into general propositions and theories.	Difficulty in summarizing case studies is due to the properties of the reality studied, not the research method.

Merriam suggests that, although it may be difficult for a researcher to generalize qualitative research, it is left to the discretion of the reader to contextualize and generalize the results of qualitative research.

General Observations

Prior to analyzing each research question, there are some general observations that should be noted regarding the interview process and thoughts of the researcher. Having earned a master's degree in counseling and practiced counseling in numerous educational settings, I relied heavily on my counseling background and experience. During regular encounters and interviews, it was very important for me to focus on empathetic listening and reflection. Since all interviews were recorded, I spent minimum time writing notes during an interview. Notes written during the interview tended to be themes and reminders to ask for clarification or deeper discussion about a subject at an appropriate time. It was important for me to focus on the interview and avoid interrupting or redirected an interviewee's train of thought during the interviews. Staying focused on the interviewee's dialog is, at times, challenging—particularly with over 30 hours of interviewing. Recording each interview proved to be very critical to the validity of the research. One's mind will tend to occasionally wander a bit during the course of

an interview as it attempts to process the information and build a perspective to what I am trying to observe. Being able to re-listen to the interview and reflect on specific statements proved to be an invaluable tool in analyzing the data. Details and nuances can be extracted from the recorded interviews. Furthermore, time was allowed between most interviews for me to write down general notes about the interview. These follow-up notes were primarily reflections about the interview process, procedures, noticed body language, and any themes or thoughts that presented themselves during the interviews.

Most of the processes and criteria that were identified in the interviews were traditionally not written down in a formal step-by-step procedure or list that the interviewees refer to or follow. Instead, these criteria and processes are mentally stored and processed by each individual. A few processes that affect the staff of University Outreach and Engagement are more formal (e.g., the institutionalization of values, development of annual goals, etc.). There were strong common themes that emerged during the interviews (e.g., values, social justice, scholarship) and will be discussed in chapter five. Many interviewees initially answered questions by talking about *what* they do, not necessarily *how* they do it, and any specific criteria that they consider when making decisions about potential engagement activities. It took additional probing and questions to encourage deeper and more detailed answers. Some interviewees found it difficult to specifically list criteria and instead felt more comfortable with the word *traits* as it relates to “sizing up” a potential engagement partner. For example, the question, “What criteria do you look for in potential partners. . .” was restated as “What *traits* do you look for in a potential partner. . .” This minor change in words provided

clarification to the interviewee and appeared to allow the interviewee to better reflect on the question.

Summary

This study examined one prominent public, land-grant university outreach and engagement organization and the criteria and processes staff use to identify, evaluate, and communicate the program expectations (philosophical ideals, costs and benefits, internal and external influences, and program alternatives) of planned engagement activities or potential partnerships with external entities. These elements support the relationship building process during engagement activities universities conduct with entities external to the academy. Today's competitive market-driven economy demands that universities commit to long-term engagement and explore new and innovative ways to leverage and expand its resources, examine new educational possibilities, improve the quality of existing programs, increase diversity, improve cost effectiveness, coordinate public relations, gain access to other regional resources and support, and further institutional stability. Universities can benefit by applying a strategic approach to nurturing internal and external relationships in a logical and informed manner. University staff involved with the outreach and engagement process should have recommendations and guidelines as to how to identify and evaluate the criteria for its program expectations. Finally, through effective engagement management, as well as having an understanding of the social and philosophical influences on the participants, managers of engagement organizations and university leaders will be able to effectively plan, organize, leverage, and utilize the resources of the university in collaboration with external partners for the benefit of all parties. By providing a model for identifying, evaluating, and

communicating program expectations for university engagement activities, university staff can more effectively engage in interactions with interested people both within and outside of the university (Bartel, Krasny, & Harrison, 2003). Engagement between the university and external entities serve as a catalyst for change and further entrepreneurial endeavors.

One public, land-grant university outreach and engagement program was studied with respect to how it approaches the planning and execution outreach and engagement activities for the institution. Furthermore, the outreach and engagement organization was examined for common trends and themes identified in the social theoretical frameworks section of the literature review. Is there an established process for nurturing relationships with internal and external entities? How does the outreach organization identify, evaluate, and communicate its program expectations with its internal and external clients? How do outreach and engagement staff identify, evaluate, and communicate their philosophical ideals? How does the outreach organization identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy? These are just a few questions that arise as one ponders how university outreach and engagement programs have developed over the years.

One of the outcomes of this research are suggestions based on best practices, as to how universities may plan and manage their outreach and engagement activities to best leverage university resources, plan and identify strategic partnering opportunities, and cultivate relationships with internal and external entities. With these tools at hand, university outreach and engagement staff may increase the visibility of their activities to internal and external clients as well as facilitate synergies between the university and its

external communities. Partnerships reach beyond community engagement and can benefit the university and community by increasing educational and resource opportunities, providing a mechanism for economic growth, creating collaborative networks, and offering a gateway for external entities into the university.

Chapter 3 provided an outline for the design that directed the research as well as a description of the setting and context of the research, the sample and data sources, research procedures, data collection processes, data analysis techniques and tools, the role of the researcher, and limitations of the research. The first section of chapter 4 provides the reader with a contextual overview of the evolution and organization of engagement and outreach at Michigan State University and its Office of the Associate Provost for University Outreach and Engagement. The second section addresses the primary research questions through the framework of engagement management (philosophical ideals, external and internal influences, costs and benefits, and program alternatives) and the secondary research questions comprehensively. The final section provides summary thoughts. Chapter 5 first examines the findings for themes under each of the four elements of engagement management (philosophical ideals, internal and external influences, costs and benefits, and program alternatives). The second section integrates the framework for engagement management to offer “best practice” recommendations for staff involved with university engagement activities. The third section provides observations and discussion, followed by suggestions for future research.

Chapter 4: Findings and Discussion

The first section of chapter 4 will provide the reader with an overview of the evolution and organization of engagement and outreach at Michigan State University and its Office of the Associate Provost for University Outreach and Engagement. The second section addresses the primary research questions through the engagement management framework (philosophical ideals, external and internal influences, costs and benefits, and program alternatives) and the secondary research questions comprehensively. The final section provides summary thoughts.

Introduction

Beginning with the initial contact with representatives at Michigan State University, *scholarship*, more specifically *engaged scholarship*, was a driving theme throughout our conversations. Engaged scholarship is infused into the culture of Michigan State University's Office of the Associate Provost for University Outreach and Engagement and provides a catalyst for most of the activities it supports and provides within the organization. MSU offers many of the services intrinsic to land-grant institutions including a strong commitment to engaging with its professional and geographic communities.

Michigan State University, A Brief History

Michigan State University was founded in East Lansing, Michigan in 1855 and a prototype for 69 land-grant institutions following the Morrill Act of 1862. Today it

serves approximately 49,300 students (37,988 undergraduate, 11,355 graduate—fall 2013) on a 5,200 acre campus with 538 buildings, including 95 academic buildings, and an annual budget of approximately \$926 million—sponsored research totaling \$477 million in 2012-13. With 27 halls in five neighborhoods and two apartment villages, MSU is among the largest single-campus residence hall systems in the country. Students attend MSU representing every county in Michigan, every state in the U.S., and more than 130 countries throughout the world. Faculty and academic staff consists of 4,700 personnel and support staff number 6,400. It consists of 17 degree-granting colleges offering more than 200 programs of undergraduate, graduate, and pre-professional study. (Michigan State University, 2014k).

In 2013, *U.S. News & World Report* ranked MSU 29th among the nation's universities and first in the nation for its graduate programs in elementary and secondary education (19 consecutive years), nuclear physics, and organizational psychology. It ranked first in the nation for its undergraduate program in supply chain. MSU maintains approximately 280 partnerships with international institutions supporting 25 internationally focused centers, institutes, and offices. (Michigan State University, 2014k).

The Evolution of Outreach and Engagement at Michigan State University

MSU's outreach and engagement activities have evolved considerably since its early years. MSU began extending independent and off-campus courses in 1892 through its Michigan Agricultural College (MAC). In the 1920s, MSU established WKAR Radio that was used as a means of extending knowledge to external audiences throughout the state and region. These extension programs flourished through the late 1940s when a

large grant from the W. K. Kellogg Foundation established a continuing education center on the MSU campus. At that time all MSU extension services were consolidated under Continuing Education Services (CES) and by the early 1950s, CES reported directly to the President's Office. In the early 1970s MSU President, Clifford R. Wharton, commissioned a university-wide task force on lifelong education and by 1975, CES was re-titled Lifelong Education Programs (LEP) and the Director was given Dean-level status (Fear, 1994). In the mid-1980s, the then-acting Dean of LEP began phasing out LEP as a separate administrative unit and integrating its continuing education responsibilities into the various undergraduate and graduate education programs—essentially decentralizing continuing education into the disciplines and departments. The intent was to make “it a more central and integrated dimension of the institution's overall mission” (Fear, 1994, p. 36). In 1989, the office of University Outreach was established consisting of MSU's Cooperative Extension Service and Lifelong Education.

Provost's committee on university outreach. In 1992, the then Provost (now President) convened a committee with the charge of “articulating an intellectual foundation for outreach and making recommendations for further strengthening university outreach at Michigan State University” (Michigan State University Board of Trustees, 2003, p. iii). The committee, comprised of MSU faculty and administrators, examined MSU's outreach and engagement policies and practices and provide strategic recommendations for the advancement of outreach at MSU. When asked how the university's engagement policy has changed over the past few years, one MSU interviewee commented,

First of all, we got one. Which was really initiated by the Provost of the time. When she asked a faculty/administrative combined group to come up with a definition. That really was the, I think the, the 93 committee. I think that really began to put the—we didn't use the word engagement at the time, it was outreach—but that began to put the, shift the conversation of the universities, in a way, the extension system to go throughout the institution, and not just be residing in extension. So they called it outreach. And defining it as something that does in fact cut across the mission of the institution, across the three things [research, teaching, and service].

Another MSU interviewee, when asked what criteria she used to identify organizational values stated,

I think in some ways, we're very lucky in the mid-1990s the Provost commissioned a faculty and administrator group to sit down and think about outreach and engagement and they came up with our institutional definition. That has helped guide a lot of things. I think that that has helped guide a lot about how we think about outreach and engagement at this university as scholarly.

Over the next year, the Provost's Committee set out to define outreach as "a form of scholarship that cuts across teaching, research, and service. It involves generating, transmitting, applying, and preserving knowledge for the direct benefit of external audiences in ways that are consistent with university and unit missions" (Michigan State University Board of Trustees, 1993, P. 1).

It was never conceptualized here, as it is in many other parts of the world, as third mission or a fourth leg of the stool, they have all these ways of expressing it. It

was a way of doing what a lot of other people were doing to make it evident that it wasn't just extension that was expected to transfer known knowledge to whoever it got transferred to. The really outreach kind of thing. I think that was at the higher education administration level that was clearly the thing that targeted a change. (MSU Interviewee).

The intent was to make outreach a major feature of the university and unit missions, "not a minor or ancillary function to be honored in rhetoric but minimized in practice"

(Michigan State University Board of Trustees, 1993, p. 5). In their final report, the

Provost's Committee on University Outreach provided the following recommendations:

1. Michigan State University should formally adopt the conception and definition of outreach articulated in this report.
2. Michigan State University should establish a system for measuring, monitoring, and evaluating outreach. This system should have sufficient standardization to permit aggregation at the unit, college, and University levels, and also offer sufficient flexibility to accommodate important differences across disciplines, professions, and units.
3. Outreach planning at Michigan State University should involve multiple parties in an open, continuous, and interactive dialogue. This planning process should be undertaken with the understanding that primary responsibility for outreach resides at the unit level.
4. Efforts should be undertaken at Michigan State University to reward outreach consistently and appropriately at the college and unit levels.

5. Each academic unit at Michigan State University should create explicit, written guidelines regarding the criteria to be used in making faculty merit salary increase and tenure and promotion decisions. These guidelines should include a clear indication that outreach is valued in the decision-making process.
6. Creative programs to stimulate outreach should be developed at Michigan State University.
7. Unit and faculty participation in instructional outreach should be stimulated and rewarded at Michigan State University.
8. Involving students—undergraduate, graduate, and graduate-professional—in outreach should be a distinguishing feature of the Michigan State University educational experience.
9. As a land-grant, research-intensive institution, Michigan State University is uniquely qualified to be a world-class institution in the area of outreach research. This should be valued by the University as high priority work.
10. Responsible, innovative, and sustainable strategies should be established with the goal of providing adequate resources for outreach at Michigan State University.
11. Michigan State University should work aggressively to develop systems, structures, and policies that encourage outreach.
12. The Offices of the President and Provost should assume leadership for declaring the importance and value of outreach at Michigan State University.
13. Outreach should be appropriately recognized in the awards system at Michigan State University.

14. Outreach at Michigan State University should be appropriately recognized in the academic governance system.
15. Exemplary outreach at Michigan State University should be strategically showcased on- and off-campus.
16. Investment in, and optimal use of, advanced technology in outreach should be a continuing priority for Michigan State University.
17. Michigan State University should enhance the awareness of external constituents regarding its outreach activities, and then help them gain efficient access to these offerings.
18. Michigan State University should join others in forming a confederation of organizations with learner-focused outreach as its goal.
19. The Office of the Vice Provost for University Outreach should provide University-wide leadership, coordination, and support for the Institution's outreach mission, as well as spearhead the implementation of recommendations presented in this report. But, as stated earlier, Michigan State University should continue to lodge primary leadership for outreach in the academic units.
20. Leadership, in the form of commitment, capacity, and vision, must emanate from across Michigan State University—from the faculty, students, and staff, to the Board of Trustees. This leadership, when exercised, will create an institutional environment that consistently demonstrates to all that outreach is a fundamental feature of the University's mission. (pp. 13-46)

Outreach as scholarship. The Provost's 1993 Committee on University Outreach defined outreach as clearly and definitively rooted in scholarship.

We believe that the essence of scholarship is the thoughtful creation, interpretation, communication, or use of knowledge that is based in the ideas and methods of recognized disciplines, professions, and interdisciplinary fields. . . . In our thinking, outreach has the same potential for scholarship as the other major academic functions of the University. This requires the need for a definition that positions outreach at the heart of what the University is and does. (Michigan State University Board of Trustees, 1993, p. 2)

The scholarship of outreach—later defined as engagement or engaged scholarship—was at that time being redefined by many higher education institutions throughout the U.S and supported by organizations such as the National Association of Land-Grant Universities and the National Outreach Scholarship Conference (now the Engagement Scholarship Consortium). Advancing from the developmental psychology discipline of applied developmental science,

They had this newly emerging thing called community-based research and then community engagement and scholarship. . . . How do you really take community-based research ideas and extend them across all the disciplines to enact an outreach agenda? . . . Then we just shifted that from applied developmental science to outreach, and then to outreach and engagement. (MSU Interviewee)

To support the traditional roles of scholarship, over the next two decades the element of research regarding outreach and engagement—generating, transmitting, applying, and preserving knowledge—would be deeply ingrained into the culture and ethos of today’s Office of the Associate Provost for University Outreach and Engagement (UOE) at Michigan State University. Soon after the 1993 Report by the Provost’s Committee on University Outreach was published, the office of University Outreach was established. However, over the next few years, many in academia supported a relatively new approach called engagement.

They were adamantly against the word outreach because of its historic tie to just service as opposed to really getting out there and getting stuff changed and getting things done, a more research agenda. So we added it here and the charge I got when I took the job was to make engagement across Michigan State University as much on the tip of the tongue as the word international was. How to do that was up to me. (MSU Interviewee)

The word “Engagement” was added to the office’s title in 2003.

Around this whole thing about community engaged scholarship. Because of my career and me, I always interpreted that as if we are going to do it here we should be national leaders in it, and then I got involved internationally as well. (MSU Interviewee)

To add rigor to the discipline of engaged scholarship, UOE began to produce and disseminate research and scholarship in the form of publications, conferences, and teaching. “We began to write articles about what we were doing and to publish books about what we’re doing. Then I got a lot of people. I pulled together the two volumes of Community Engagement Handbook” (MSU Interviewee). MSU’s UOE began networking (engaging) extensively with its peer academic institutions. “We did that to get it out there and figured, what does the typical faculty member think about when they think about their discipline? They’ve got journals, they’ve got books, they go to meetings, so we started organizing meetings” (MSU Interviewee). In the mid-1990s, using Penn State’s Outreach Scholarship Conference as a catalyst organization, the staff at MSU’s UOE helped to establish a 501-C3 organization called the National Outreach Scholarship Conference, now the Engagement Scholarship Consortium.

We created an organization independent of APLU so that other than land-grant institutions could see it as a place to belong to, including privates, although no privates currently belong to it yet. Then we put a lot of energy into sort of adopting two journals as our official journals, even though they are someone else's journal. The Journal of Higher Education Outreach and Engagement, which is published by the University of Georgia, and the Journal of Community Outreach and Engagement. (MSU Interviewee)

Dissemination of knowledge was the third piece developed to support UOE's research and scholarship agenda. Teaching in forums such as conferences, speaker series, and workshops, as well as online certification programs and support services were developed to disseminate knowledge about engaged scholarship.

Scholarship is what scholars do; they teach, do research, and serve the University, their disciplines, fields, or professions, and the surrounding society. . . . Teaching, research, and service are simply different expressions of the scholar's central concern—knowledge and its generation, transmission, application, and preservation. . . . Engagement can and does cover the full spectrum of knowledge functions. (Michigan State University Board of Trustees, 1993, pp. 1-2)

Outreach as a cross-cutting function. The Provost's Committee on University Outreach suggested that outreach is a function that cuts across all the disciplines. "In this way of thinking about outreach, there are forms of outreach teaching, research, and service, just as there are forms of non-outreach teaching, research, and service" (Michigan State University Board of Trustees, 1993, p. 3). Activities and services conducted off-campus such as providing therapeutic or medical services, courses taught off-campus, or research with an external entity are considered forms of engagement. Most traditional on-campus courses, disciplinary research, and service on university

committees are considered non-engagement service. However, engagement and non-engagement activities are often linked to each other. For example, non-engagement disciplinary research can provide results that are disseminated in engagement-type methods (e.g., public workshops, lectures, conference presentations, publications, etc). Engagement is also defined as cutting across teaching, research, and service categories. Consulting or technical assistance can fall into any of these categories and can be conducted in an engagement or non-engagement manner depending on the audience and potential consulting partner. “Both types of linkages—between non-[engagement] and [engagement] activities, and between and among teaching, research, and service activities—are often required as Michigan State undertakes its activities” (Michigan State University Board of Trustees, 1993, pp. 3-4). Similar to teaching and research, there are also forms of engagement and non-engagement service. For example, consulting or serving on a public commission or committee for one’s professional expertise may be considered a form of engagement service.

Outreach [engagement] for the direct benefit of external audiences. The Provost’s Committee on University Outreach recognized that outreach (or engagement) extends the university’s resources and knowledge to locations throughout the state, country, and world at all times of the day, and in a variety of delivery formats.

Through outreach [engagement] the university extends its knowledge resources for the direct benefit of external audiences. . . . The university ‘reaches out’ to external audiences in one or more of these dimensions: distance, time and place, and format and approach. (Michigan State University Board of Trustees, 1993, p. 5)

Points of distinction. During 1995-1996, the UOE oversaw the development of the publication titled, *Points of Distinction: A Guidebook for Planning and Evaluating Quality Outreach*. The purpose of the guidebook is to:

- Encourage discussion about what quality outreach means among faculty, staff, administrators, and university collaborators;
- Develop a common understanding of what constitutes quality outreach, and the language to describe it;
- Assist units in articulating definitions and expectations for outreach consistent with their mission, values, and context;
- Enhance unit-level planning resources allocation, assessment, and accountability;
- Suggest ways of rewarding outreach achievements in tenure, promotion, and annual merit salary decisions;
- Suggest faculty alternative ideas for documenting and reporting accomplishments in outreach; and
- Provide an aid for units in communicating, both internally and externally, about their outreach activities and their impact. (Committee on Evaluating Quality Outreach, 1996, 2000, p, 5)

The intent of the guidebook is to provide guidance to chairs and deans with respect to planning outreach, teaching and research agendas—“particularly institutional academic program planning and review, promotion and tenure and annual faculty review, and various quantitative data collections” (Committee on Evaluating Quality Outreach, 1996, 2000, p. 6). Deans are encouraged to use the guidebook to incorporate outreach (engagement) into the college mission; establish quality measures for the comparative

evaluation of unit and faculty accomplishments; demonstrate that scholarly achievement can be planned, documented, and evaluated in the area of outreach; assist the college in planning, ranking, and reporting its quality outreach efforts; and discriminate among competitive outreach funding requests on the basis of their potential to result in quality efforts (Committee on Evaluating Quality Outreach, 1996, 2000). Unit chairs, directors, and faculty are also encouraged to use the guidebook to assist in planning, managing, and evaluating their outreach and engagement efforts. The guidebook stresses the notion that university-based outreach and engagement should include a scholarly dimension and provides a matrix for evaluating quality outreach.

Reappointment, promotion, tenure, and engagement. During the year of 2000, a faculty committee provided the following recommendations to revise the reappointment, promotion, and tenure forms:

1. Emphasize multiple definitions of scholarship.
2. Promote the use of evidence to document the quality of that scholarship.
3. Embed opportunities to report outreach and engagement throughout the form.
4. Distinguish among service to the university, to the profession, and to the broader community.
5. Include new questions focused on scholarship of integration.
6. Broaden the list of examples of scholarship to include outreach scholarship in each section. (Fitzgerald, 2014)

These changes allow units to recognize faculty for their activities involving outreach and engagement and include this recognition in reappointment, tenure, and promotion decisions. Although encouraged as part of the annual documentation process,

prioritization and practice differ from unit to unit, department to department, and division to division.

Measuring outreach and engagement. One of the recommendations that came out of the Provost's Committee on University Outreach was to establish an instrument to measure faculty engagement activities at MSU. In 2004, after much consultation with faculty, staff, and peers, UOE unveiled its Outreach and Engagement Measurement Instrument (OEMI). The OEMI defines four dimensions of quality outreach and engagement:

1. Significance – importance of issue/opportunity to be addressed and goals/objectives of consequence;
2. Context – consistency with university/unit values and stakeholder interest, appropriateness of expertise, degree of collaboration, appropriateness of methodological approach, and sufficiency and creative use of resources;
3. Scholarship – knowledge resources, knowledge application, knowledge generation, and knowledge utilization; and
4. Impact – impact on issues, institutions, and individuals, sustainability and capacity building, university-community relations, and benefit to the university (Bargerstock & Fitzgerald, 2012).

“It's not so much about partnership building in that it's about partnership documentation” (MSU Interviewee). Annually, a survey is sent to all faculty and staff at MSU to collect data about their engagement activities. The OEMI gathers data along seven dimensions; time spent, social issues, *Boldness by Design* imperatives, forms, locations, non-university participants, and external funding, and in-kind support

(Bargerstock & Fitzgerald, 2007). The type of data gleaned from the OEMI includes data on specific projects such as issues addressed, purposes and methods, duration, location(s) of intended impact, involvement of students and other university units, and the involvement and role of external partners, funding sources, evaluation strategy, project outcomes and impacts, resulting intellectual property, impacts on scholarly and/or teaching practices, and resulting scholarship about the engagement (Bargerstock & Fitzgerald, 2012). These data are used to communicate examples of outreach and engagement effort across disciplines, recognize and reward the exemplars, respond to accreditation and other institutional studies, conduct benchmarking and strategic planning, and catalog engagement opportunities to name a few.

Carnegie classification. In the early 2000s, the Carnegie Foundation for the Advancement of Teaching created an elective classification for Community Engagement. In 2005, MSU's UOE submitted a classification package to include community engagement as one of the Carnegie classifications assigned to Michigan State University.

Community engagement describes collaboration between institutions of higher education and their larger communities (local, regional/state, national, global) for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity. (Carnegie Foundation for the Advancement of Teaching, classification definition, 2013)

In 2014, MSU was re-applying for reclassification in the community engagement elective classification.

National Center for the Study of University Engagement. By 2005, UOE established the National Center for the Study of University Engagement (NCSUE).

The Center convenes scholars and community fellows to explore ways of creating institutional support for building truly collaborative arrangements. NCSUE supports research studies and dissemination through publications, a speaker

series, conferences, presentations, and workshops. (National Center for the Study of University Engagement, 2014a, p. 1)

NCSUE supports the study and discussion of two primary concepts, engaged scholarship and the scholarship of engagement. Engaged scholarship being defined as, “Scholarly outreach and engagement activities reflect[ing] a knowledge-based approach to teaching, research, and service for the direct benefit of external audiences. Such activities, in turn, enrich all of the faculty member's work” (Fitzgerald & Bargerstock, 2006, slide 27). The scholarship of engagement refers to how faculty reflect on, study, write about, and disseminate the processes, relations, and impacts of outreach work on the external audience and on the academy (Fitzgerald & Bargerstock, 2006).

Today’s Office of the Associate Provost for University Outreach and Engagement.

Today’s Office of the Associate Provost for University Outreach and Engagement provides a host of engagement scholarship resources for students, faculty, administrators, and peers throughout higher education community, but also, community engaged partners external to the institution. As a national and international leader in the study of outreach and engagement, UOE generates, applies, disseminates, and preserves knowledge related to outreach and engagement.

Organizational structure. Presently, MSU’s Office of the Associate Provost for University Outreach and Engagement is managed by an Associate Provost who reports to the Provost. As well as overseeing the all activities and staff assigned to the UOE, the Associate Provosts also oversees university outreach and engagement senior fellows, university outreach and engagement community fellows, the Cultural Engagement Council, pre-college programs, and the Information Technology and Empowerment

Center in Lansing, MI. Reporting to the Associate Provost is the Assistant Provost, ten Directors, and one Executive Director (Wharton Center for Performing Arts). The Assistant Provost's unit manages community engagement, faculty networks, and is the primary liaison to MSU's Extension Services. The 11 other units within UOE and their brief responsibilities include:

- Arts and Cultural Initiatives – Research collaborations, fostering inclusive communities, and cultural economic development.
- Center for Community and Economic Development – Community engagement, promote/support active representative citizenship, and leadership development.
- Center for Service-Learning and Civic Engagement – Academic service-learning and civic engagement, curricular service-learning, co-curricular service and volunteerism, and MSU America Reads/America Counts.
- Communication and Information Technology – Publications, websites and information systems, public/media relations, and event management, including Michigan Science Olympiad State Tournament.
- Community Evaluation and Research Collaboration – Program evaluation, community-based research, and knowledge exchange.
- Julian Samora Research Institute – Research, evaluation, and support on the social economic, educational, and political condition of Latino communities.
- MSU Detroit Center – A hub for MSU programs, activities, opportunities, and research partnerships, and the MSU-Detroit partnerships at YouthVille Detroit.
- Michigan State University Museum – Outreach programs, distance learning, research, collections.

- National Collaborative for the Study of University Partnerships – Institutional measurement and benchmarking, research on scholarly engagement, advancing reflection, learning, and professional development, and promoting innovations in the scholarship of engagement nationally.
- Usability/Accessibility Research and Consulting – Evaluation services, research collaborations, and continuing professional development programs.
- Wharton Center for Performing Arts – MSUFSU Institute for Arts and Creativity, and performances. (Michigan State University, 2012a)

Michigan State University's Office of the Associate Provost for University Outreach and Engagement has evolved through many changes over the past few decades; however, more recently, UOE restructured the organization and established four functional units that cut across the structural units of UOE.

They were reluctantly brought into this conversation. Once they really got involved with it though, they really grabbed hold of it. In a six-month period they accomplished remarkable stuff that they refused to do for about two years. . . . They formed all kinds of committees. . . . They did a remarkable job. Now we're implementing that and we'll see how it goes. So far, it's gone really well—especially because *they* did it. I had to sort of threaten them—but they did it and I'm good with it. They came up with something that is better than what I had, so that's great. (MSU Interviewee)

The functional teams were formed to encourage cross-unit interactions and stimulate innovation. “We were getting too siloed, with 12 units. We created a new functional structure” (MSU Interviewee). The functional teams consist of Institutional

Policies and Practices, Partnerships, Educational Options, and Measurement & Documentation. Most of these teams meet on a monthly basis to discuss and act upon issues that cut across the units. They also provide lateral communication between organizational units.

The engaged scholar. Built on Ernest Boyer’s definition of the role of scholars published in 1990, MSU’s UOE created a knowledge model that defines outreach and engagement as “scholarly activities embedded in the generation, transmission, application, and preservation of knowledge for the direct benefit of external audiences, rather than as a set of separate ‘service’ activities detached from teaching and research” (Michigan State University, 2014a, para. 4).

One key foundational principle guides development of the MSU outreach model. That principle is the scholarship of engagement; that is, outreach and engagement activities should reflect a scholarly or knowledge-based approach to teaching, research, and service for the direct benefit of external audiences. We believe our knowledge model is the best fit to an increasingly knowledge-based society. (Michigan State University, 2014a)

Figure 7 depicts Michigan State University’s UOE Outreach and Engagement Knowledge Model.

OUTREACH AND ENGAGEMENT KNOWLEDGE MODEL

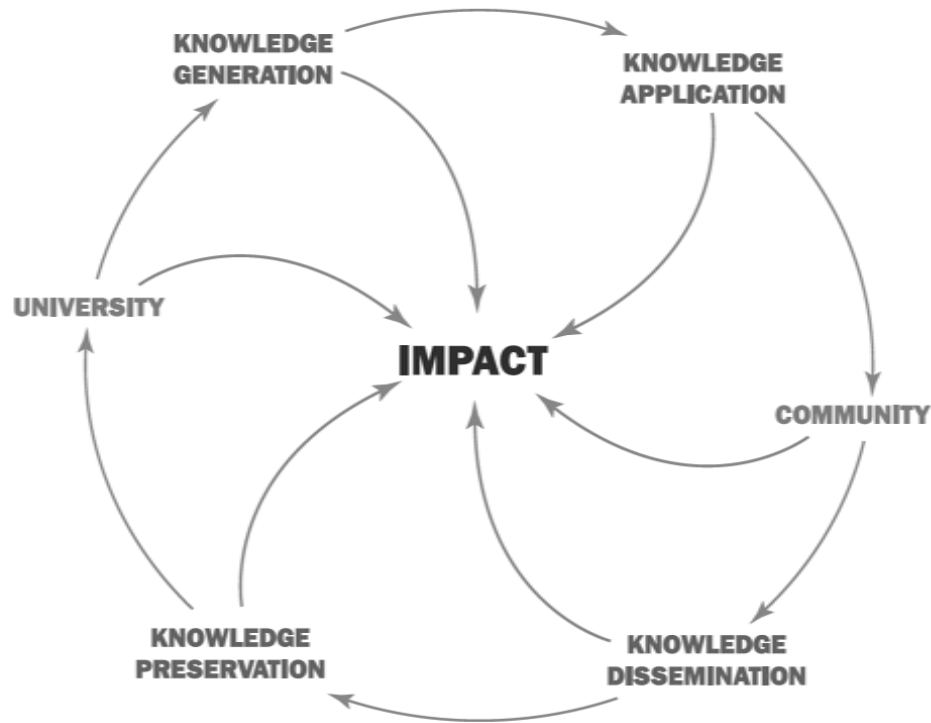


Figure 8. *Michigan State University, Office of the Associate Provost for University Outreach and Engagement, Outreach and Engagement Knowledge Model (Michigan State University, 2014a).*

MSU's UOE defines outreach and engagement as embedded in scholarship, not a separate activity or pursuit. This definition is broadly interpreted across a spectrum of activities generated by the institution in the form of research, teaching, and service.

Examples of *engaged research and creative activity* include:

- community-based research,
- applied research,
- contractual research,
- demonstration projects,

- needs and assets assessments,
- program evaluations,
- translation of scholarship through presentations,
- publications, and web sites, and
- exhibitions and performances.

Examples of *engaged teaching and learning* include:

- online and off-campus education,
- continuing education,
- occupational short course, certificate, or licensure programs,
- contract instructional programs,
- participatory curriculum development,
- non-credit classes and programs,
- conferences, seminars and workshops,
- educational enrichment programs for the public and alumni,
- service-learning,
- study abroad programs with engaged components, and
- pre-college programs.

Examples of *engaged service* include:

- technical assistance,
- consulting,
- policy analysis,
- expert testimony,
- knowledge transfer,

- commercialization of discoveries,
- creation of new business ventures,
- clinical services, and
- human and animal patient care (Fitzgerald, 2010).

Engaged scholarship permeates the philosophy, mission, and culture of MSU's Office of the Associate Provost for University Outreach and Engagement. All MSU interviewees expressed engaged scholarship as the fundamental cornerstone of their role at the university. Each interviewee pursues and integrates scholarship into their activities in unique ways to accommodate their unit's responsibilities. "Engagement is a form of scholarship, and if it's not scholarship, it isn't engaged scholarship" (MSU Interviewee). One interviewee articulated the difference between service and engaged scholarship. "So there's certainly service. I serve on the Board of my choir. That's not engaged scholarship. If I were to do an evaluation for them, and think of something I can publish . . . then it would be engaged scholarship" (MSU Interviewee).

Engaged scholarship recognizes diversity across people, places, socioeconomic status, and settings; the importance of shared mission statements, outcome-oriented work plans, and resource development; participation as a way to maintain open communications and responsive operations; diverse strategies and evidence-based qualitative and quantitative methodologies; the unique contextual features of the setting as important in shaping plans and strategies; the need to be in touch with the community and responsive to the changing nature of issues in the community; and the importance of building community capacity for self sufficiency. (Fitzgerald, 2010, slide 18)

A community of engaged partners. Michigan State University's Office of the Associate Provost for University Outreach and Engagement is actively involved with a number of local, national, and international outreach and engagement organizations, associations, and conferences. UOE provides a web site that lists staff presentations

made throughout the years. Over the years, UOE staff members have been quite prolific at providing scholarly presentations to colleagues, peers, and community members with respect to a wide variety of topics about outreach and engagement. A sample of topics include:

- Community Engaged Scholarship: A Third Transformation in Higher Education,
- Assessing Engagement and Outreach: Lessons Learned,
- Collecting and Utilizing Data About Community-Engaged Scholarship and University Outreach,
- University-Community Partnerships: Looking for Collective Impact,
- The National Landscape of Engagement Scholarship, and
- Economic Development and Engaged Scholarship.

Many of these presentations throughout the years are made to peer higher education staff who are exploring ways to integrate or infuse their outreach and engagement activities at their home institutions. Some of those institutions include the University of Memphis, Texas Tech University, University of Michigan, University of Kansas, University of Minnesota, and University of Wisconsin.

Internationally, UOE is actively involved with the International Association for Research on Service-Learning and Community Engagement. Nationally, UOE staff have presented at conferences and meetings of the Engagement Scholarship Consortium, the Association of Public and Land-Grant Universities Council on Engagement and Outreach, the University Professional and Continuing Education Association, and the American College Personnel Association amongst others. UOE staff also provide engaged scholarship presentations, workshops, and speaker series for local business

groups and organizations internal and external to the university. These have included presentations as part of the Faculty and Organizational Development's Leadership and Administrator Speaker Series, and the MSU University Outreach and Engagement Senior Fellows. Other local UOE initiatives and programs include

- Statewide Resource Network (SRN) - The SRN Web site provides the public with information about outreach-related projects, initiatives, and programs that MSU faculty and staff are involved in, including continuing professional education programs and expert assistance and information. You can find links to over 1000 program and project summaries and complete contact information. You can search the SRN by topic, location, or keyword.
- Spartan Youth Programs (SYP) - The SYP allows people to search for pre-college programs and activities, camps, places to visit, and college courses for pre-K through 12th graders.
- MSU Extension (MSUE) - The MSUE portal allows the public to search for expertise teams around specific areas, such as agriculture, community, environment, health and wellness, youth and families, and home and garden. It also has information on and provides educational programs in three areas: agriculture and natural resources, children, youth and families, and community and economic development.
- Summer Study - The Summer Study Web site has information on summer courses, how to register, how to order textbooks online, and maps to help you locate the facility where your courses are taught.

- Online and Off-campus Programs - The Online and Off-campus Programs Web site allows students to search for online, on-campus, and off-campus programs and courses. (Michigan State University, 2014b)

MSU's Community Builders program, established with Leap, Inc. and the Prima Civitas Foundation, "recognizes businesses and organizations that are working with Michigan State University to advance economic development and quality of life in the Mid-Michigan region" (Michigan State University, 2014c, para. 1). Since 2008, 74 companies, agencies, and organizations have been recognized for their sustained and active engagement with MSU resulting in broad and positive impacts on the community (Michigan State University, 2014c).

Learning the scholarship of engagement. UOE provides a number of opportunities for students and faculty to learn about engaged scholarship and how it applies to service, research, and teaching. These initiatives consist of a series of training opportunities and publications available online and through regularly scheduled workshops, seminars, speaker series, and publications.

Tools of engagement. The Tools of Engagement is a series of six online modules available to faculty and undergraduate students. The first module provides an overview of MSU's land-grant tradition of scholarly research that "involves linking campus and community through applied research, technical assistance, and instructional programs" (Michigan State University, 2014d). The other five modules are structured around how MSU defines university-community engagement as scholarly, community-based, collaborative, responsive, and capacity-building.

Graduate certification in community engagement. In 2009, UOE and MSU's Graduate School initiated a Graduate Certificate in Community Engagement program. This program is designed to “strengthen [student’s] scholarly and practical skills in engaged research and creative activities, engaged teaching and learning, engaged service, and/or engaged commercialization activities (Michigan State University, 2014e, para. 1). Each student must complete a series of core engagement competency seminars, 60 hours of mentored community engagement experience, and an engagement portfolio and presentation. Core engagement competencies include:

- Foundations of Community Engaged Scholarship,
- Variations in Community Engaged Scholarship,
- Initiating Community Partnerships;
- Navigating Community Partnerships;
- Techniques for Community Engagement;
- Community Engaged Research and Creative Activities;
- Community Engaged Teaching and Learning;
- Capacity Building for Sustained Change;
- Systems Approaches to Community Change;
- Evaluation of Engaged Partnerships;
- Critical Reflections on Identity and Culture;
- Communicating with Public Audiences;
- Scholarly Skills—Grant-writing and Peer Reviewed Publishing;
- Strategies for Successful Engagement Careers;
- Ethics and Community Engaged Scholarship (cross-cutting seminar theme); and

- Working with Diverse Communities (cross-cutting seminar theme). (Michigan State University, 2014e)

Engaged scholar speaker series. The Engaged Scholar Speaker Series is co-sponsored by the National Center for the Study of University Engagement and Michigan State University's Office of the Associate Provost for University Outreach and Engagement. The speaker series sponsors renowned speakers on topics and issues related to "the theory and practice of outreach and engagement, with a particular emphasis on community-based participatory research" (National Center for the Study of University Engagement, 2014b, para. 1). All sessions are free and open to public, and most are archived online and available via streaming video.

Emerging engagement scholars workshop. Each fall, in conjunction with the National Engagement Scholarship Conference, a series of workshops are conducted geared toward advanced doctoral students and early career faculty. These workshops provide participants with "background literature, facilitated discussion, mentoring, and presentations designed to increase their knowledge and enhance their practice of community-engaged scholarship" (Engagement Scholarship Consortium, 2014, Para. 1). Applicants must be nominated for participation in these intensive professional development workshops.

The evaluation circle. A few of the units within UOE provide evaluation services on a paid consulting basis. The Evaluation Circle offers two workshops each semester on topics related to evaluation theory and practice. All workshops are free and open to the public. A sample of topics include:

- Writing Evaluation Plans for National Science Foundation Grants,

- Writing Evaluation Reports that Get Used,
- Exemplary Evaluation Practice,
- Assessing Community Needs Using Geographical Information Systems,
- Meta-evaluation: Assessing the Quality of Evaluations, and
- Evaluations that Impact Public Policy: The WIRED Evaluation.

Publications. UOE generates a considerable amount of research and scholarship that it publishes through a number of venues. Between 1998 and 2000, UOE produced a newsletter titled *Outreach Linkages*. Each newsletter focused on a theme related to the outreach mission of the university. In 2006, UOE launched an annual publication called *The Engaged Scholar Magazine*. The magazine focuses on “collaborative partnerships between MSU and it’s external constituents. . . .” (Michigan State University, 2014f). Beginning in 2008, UOE has been publishing a quarterly e-newsletter titled *The Engaged Scholar E-Newsletter* that provides event updates, partnership and funding opportunities, and general announcements related to engaged scholarship.

Recognizing engagement. MSU’s UOE sponsors a series of awards that promote “regional, national and international acknowledgement of Michigan State University's accomplishments in the four dimensions of quality outreach—significance, context, scholarship, and impact” (Michigan State University, 2014g, para. 2).

Outreach scholarship community partnership award. The annual Outreach Scholarship Community Partnership Award recognizes MSU researchers for exemplary engaged scholarship with a community partner, is recognized at the annual Awards Convocation, and provides a \$1,500.00 stipend.

MSU curricular service-learning and civic engagement award. This annual award recognizes “individuals who have demonstrated innovative and/or sustained effort in the area of academic, curricular, or co-curricular service-learning/civic engagement that is specifically linked with the mission and efforts of their colleges” (Michigan State University, 2014h).

MSU community civic engagement award. Beginning in 2013, UOE confers an annual award to a community member who has demonstrated laudable civic engagement with the community for the benefit of the community.

Outreach scholarship W. K. Kellogg Foundation engagement award. This annual regional award recognizes outstanding outreach and engagement activities. Winner of this award receives \$5,000.00 and becomes a finalist for the national C. Peter Magrath University/Community Engagement Award presented by the Association of Public and Land-grant Universities.

Bolder by Design

The vision of the university is established by the President and Board of Trustees of MSU and is the foundation and framework for the values, priorities, and activities of the university. Initially conceived in 2005 by the Provost and current President Lou Anna K. Simon as *Boldness by Design* with five imperatives, in 2012, a sixth imperative was added and the vision’s title was modified to *Bolder by Design*. President Simon posed three strategic questions to the university as it developed its *Bolder by Design* strategy:

1. How can we develop and practice a *dual operating system* comprising both the formal university organization and informal campus-wide action teams to speed up decision making and foster higher performance?
2. How can we *strengthen our culture* by focusing on both improving the quality of our work and our accountability to one another?
3. How can we break from old habits, assumptions, and routines to *develop and establish new habits* that redefine excellence and empower leading by doing?

(Michigan State University, 2014i)

Bolder by Design is the

Shared strategic framework that aligns our efforts across Michigan State University and around the globe, harnessing the power of working together to achieve our highest aspirations and to fuel the creation of better outcomes and growing value for our students, state, nation, and world. (Michigan State University, 2014i)

The MSU strategic vision is grounded in the core values of quality, inclusiveness, and connectivity. The vision's shared framework currently consists of six imperatives:

1. *Enhance student experience*—by expanding opportunities for where, when, and how students learn and increasing the value of an MSU degree.
2. *Enrich community, economic, and family life*—through research, outreach, engagement, entrepreneurship, innovation, diversity, and inclusiveness.
3. *Expand international reach* through academic, research and economic development initiatives, and strategic alliances.
4. *Increase research opportunities* by expanding funding to support high-impact scholarship and research.

5. *Strengthen stewardship* by nurturing the university's financial assets, campus environment, infrastructure, and people.
6. *Advance our culture of high performance* by elevating the quality and effectiveness of every product and process. (Michigan State University, 2014i)

Michigan State University's UOE closely links its program strategies and activities to the *Bolder by Design* vision through its fundamental operating agenda—community engagement scholarship. This strategy involves networking the community (public and private sectors) and scholarship (university knowledge and resources) together through engagement (Michigan State University, 2013b). These engagements are intended to enrich scholarship and research, enhance curricular content and process, prepare citizen scholars, endorse democratic values and civic responsibility, address critical societal issues, and contribute to the public good (Michigan State University, 2013b, slide 36). Using the *Bolder by Design* framework, the UOE facilitates community engaged scholarship to enrich community, economic, and family life for its constituents locally, nationally, and internationally.

A World-Grant Ideal

In 2009, the president of MSU published a monograph titled, *Embracing the World Grant Ideal: Affirming the Morrill Act for a Twenty-First-Century Global Society* (Simon, 2009). This document incorporates some of the philosophical imperatives of the land-grant philosophy to exemplify three distinct core values for MSU—quality, inclusiveness, and connectivity. These three values are reflected in the comprehensive elements of the *Boldness by Design* and the *Bolder by Design* strategic frameworks. “The *World Grant Ideal* recognizes that fundamental issues unfolding in one's own

backyard link directly to challenges occurring throughout the nation and the world” (Simon, 2009, p. 5). *The World Grant Ideal* challenges colleges and universities to work independently and together to address societal changes and challenges on a local, national, and international scale.

MSU’s UOE integrates its program strategy and activities into the *World Grant Ideal* philosophy by serving as a conduit for networking between academia and external constituents. Embracing the three values of quality, inclusiveness, and connectivity, UOE provides direct support to this strategic initiative creating access to cutting-edge knowledge, working directly with individuals, communities, and organizations, and bringing the institution’s research and creative capacities across disciplines to address a range of compelling societal issues.

Whether *Boldness by Design*, *Bolder by Design*, or the *World Grant Ideal*, MSU has created an overarching vision of how it generates, applies, disseminates, and preserves knowledge to benefit society locally, nationally, and internationally. This vision establishes the fundamental guiding principles, values, and philosophy for Michigan State University’s, University Outreach and Engagement.

A key element of the *World Grant Ideal* is a unique kind of partnership—a partnership designed to co-create knowledge in relationships not just among academic disciplines or even other higher education institutions but also with local industries and businesses of a region and with government agencies in a home state, in communities, or in any number of settings throughout the world. (Simon, 2009, p. 12)

Research Question Analysis and Findings

The next section will provide the reader with an examination of the findings. Each of the two primary research questions are analyzed using the framework of the four

elements of engagement management: philosophical ideals, external and internal influences, costs and benefits, and program alternatives. Primary and secondary research questions are analyzed based on their associative relationships with interview questions and associated data collected from other resources such as emails, minutes of meetings, memorandums of agreement/understanding, presentations, web-based documents, historical files, records, artifacts and any other documents that were pertinent and could contribute to the research.

Primary research question 1. A close examination of the data sets and information presented unlocks a story about the criteria staff at MSU use to identify philosophical ideals, external and internal influences, costs and benefits, and program alternatives (program expectations). Once identified, whether formally or informally, consciously or subconsciously, intentionally or unintentionally, these program expectations are often communicated amongst the partners and used to evaluate the progress and success of the partnership or engagement activity.

Philosophical ideals. Corresponding with Hechter's (1994) research on values, organizational values are further subcategorized into immanent (personal or idiosyncratic) and independent (group or organizational) values. A theme of immanent (personal) and independent (group or organizational) values grounded by social and community issues pervaded the conversations during interviews. Documents also encourage the development of partnerships based on shared social values and philosophical ideals. The immanent (idiosyncratic) values of the UOE staff support independent (group) values of the UOE organization and are influenced by the independent social and community values of their internal and external partners.

We think about the social values. This group here, we tend to be social scientists. Although there are many other disciplines and activities so we try to think about this may be different values. Mostly what we have been doing is thinking from the perspective of social problems. I think that there is room for us to expand in things that are not directly underserved populations and social problems in a way of poverty and so forth, but thinking about places where commercialized activities can fit in. (MSU Interviewee)

“It’s about how can you work with the community to produce research that will help improve and meet the needs of the community” (MSU Interviewee). Another interviewee commented, “I guess the values are not only of trying to provide useful knowledge that will help the community, but it will also help to affirm the presence of the community . . . and make their issues more visible within the state, within the public discourse, within the cultural discourse.”

Many respondents expressed strong immanent values attributed to a well-established institutional culture and open leadership.

I guess in part I listen to the direction set by the upper leadership. . . . The great thing about my boss is that he puts it all out. You have the opportunity to work sometimes with leaders who are very careful in what they say and stuff and sometimes the unfortunate connotation of that is it is cryptic. He’s not. He lays it all out. (MSU Interviewee)

Scholarship is another value theme that is highly recognized at MSU—particularly community engaged or community-based participatory scholarship. Scholarly research is an independent value that is communicated clearly in the mission of

the land-grant institution, and engaged scholarly research is integrated into the framework of UOE and MSU as an institution.

I think in some ways, we're very lucky. In the mid-1990s the Provost commissioned a faculty and administrator group to sit down and think about outreach and engagement and they came up with our institutional definition. . . . I think that that does help guide a lot about how we think about outreach and engagement at this university is scholarly. First and foremost, it is scholarly.

(MSU Interviewee)

Referring to the process of identifying partnership expectations, one MSU interviewee commented, "That's a conversation and it's made very clear up front. We're not a social service. We're a university. We're in this to try to discover something *with* you." In the 1993 report by the provost's committee on university outreach, outreach (and eventually engagement) is defined as a form of scholarship that cuts across all disciplines and "involves generating, transmitting, applying, and preserving knowledge for the direct benefit of external audiences in ways that are consistent with university and unit missions" (Michigan State University Board of Trustees, 2003, p. 3). This overarching independent value of supporting engaged scholarship is strongly accepted by UOE staff; however, interpreted and promoted varyingly by other departments and organizations throughout the institution. "It is part of the work that I do. It's not, I'm a researcher and, oh yeah, when I have time, I do that engagement thing. You are an engaged researcher" (MSU Interviewee).

External and internal influences. Economic and societal issues provide incentives and disincentives to partnering with external entities. "So money is the big

incentive. . . . I would like to think another incentive is people aligning their own values with their work allows them to engage in some ways that are consistent with their own values” (MSU Interviewee).

Visibility, internal and external to the unit, organization, or university seemed to be a criteria and incentive to engage with the community. “Visibility. Being able to attract students. Being able to attract alumni. . . . You get to court donors because they want to see their university engaged where they live, where they work, where they start their business.” Another participant responded, “It makes the unit look good. It brings esteem to the establishment, to the university because of a positive outcome” (MSU Interviewee). Other considerations and criteria were economically driven. “Is it too costly, whether it be in staff time, money, resources, how it may impact the perception of the university? Some of these things are intangible” (MSU Interviewee).

The theme that appears to prevail with respect to criteria that influences the decision whether or not to partner or engage with an external entity is common and complimenting values. External entities with conflicting independent values are scrutinized carefully before a decision is made to enter into a formal partnership. “It’s not likely we will establish a partnership with the KKK any time in the near future. Their values just don’t align with ours” (MSU Interviewee). “I think that most faculty who do outreach are doing it because they want to make a difference in the world. I think that it’s important to understand that there are all these external pressures in terms of resource allocation that come as a result of that” (MSU Interviewee).

Scholarship also serves as an incentive and criteria for UOE staff to engage with external and internal entities. The opportunity to partner with an external entity to conduct research encourages community engaged scholarship.

To be considered a community engaged scholarship, it needs to be based on a body of knowledge and generative of a body of knowledge. This body of knowledge, this scholarly foundation for community engagement, which is what makes it different from volunteering, or makes it different from plain service or practice, is that you are drawing upon some type of scholarly foundation. (MSU Interviewee)

Michigan State University broadly defines engaged scholarship as a function that cuts across all disciplines, with multiple participants, and is part of the generation, application, dissemination, and preservation of knowledge.

Another consideration is, is there any potential for scholarship because we are not extension. . . . Starting with this office, we decided that the outreach-only approach is not the best approach. We decided that in our work we have to generate scholarship. Two different kinds. There's the traditional kind, well, we do this research and this is what we discovered. But there's also this research alongside of that, the scholarship on engagement. Studying the engagement process and learning how to do engagement better for greater benefits, more impact, etcetera. (MSU Interviewee)

Another MSU interviewee commented, "That's something that I'm constantly coming back and reframing. How are you thinking about the scholarship? . . . That's very much

a priority of this unit.” The theme of scholarship, particularly the scholarship of engagement pervades strongly throughout the UOE organization.

If there’s not an opportunity for scholarship, then we probably should not be doing it. I don’t know that that commitment is always honored. There are still things that we do that don’t lead to scholarship. Sometimes that’s because things don’t pan out the way we think they should. (MSU Interviewee)

Although deeply embedded into the Office of the Associate Provost for University Outreach and Engagement, other departments and units throughout the MSU campus do not always agree with or share this level of commitment.

I think one thing worth mentioning, and we happened to hear this from the research Dean in the College of XYZ. He told us that he discourages his junior faculty from doing engaged scholarship. He views it as too high risk for them. It’s a lot of work. It’s very time consuming. You’re not sure where it’s going to lead. You’d be better off coming in as an assistant professor, grabbing a good secondary data set, and cranking out a bunch of articles to get yourself established as a productive scholar. He told us that he discouraged junior faculty from doing it. (MSU Interviewee)

Another participant responded by stating,

We have to be extremely attentive to the roles that junior faculty play to make sure, to the extent that we can help them, help them with outputs that are likely to lead to their successful promotion and tenure at the university.

Costs and benefits. Costs and benefits is further subdivided into economic and social costs. Further delineation may be made between tangible and intangible costs and

benefits. Many of the discussions were centered on the social costs of establishing and maintaining partnerships. A few UOE staff commented that there are some legacy issues that remain in the communities. One MSU interviewee expressed, “I think that there are some relational costs, there are some trust issues, there are some historical contextual issues related to how universities engage in that particular setting.” Another participant added,

I think about the social costs. . . . I get back to the trust issues where I think there have been some issues where populations have felt mistreated, taken advantage of. Particularly when you are talking about big powerful institutions verses groups of disenfranchised individuals. There’s some challenges and costs there that have to be weighted in terms of, do I engage with you? Do I trust you? Are you going to take advantage of me? Are you going to use me? Are you going to benefit from this? I sit for a mutual benefit? Who gets more out of it?

These legacy issues were apparent with a number of participants who are directly involved with engaging with external entities and partners. One participant said, “I think that there has been some work to smooth out some of those rough edges, and it’s ongoing, but there is still some folks who are distrustful. They will engage but from a distance” (MSU Interviewee).

Determining economic costs involves the assessment of time and resources. “We look at short-term vs. long-term engagement. The length of time we’re looking to be engaged with a particular partnership. How is the funding dispersed” (MSU Interviewee)? Other considerations of costs align with professional interests. “I first think, does this fall within our overall mission . . . then I’ll think, does this fit within my

program of personal interest” (MSU Interviewee)? Another MSU interviewee responded, “I’m not in a tenure track, so there’s no expectation to publish or perish. Still, we feel very strongly that we should be producing scholarship in engagement.” With multiple grants being administered by the staff at UOE at any one time, few interviewees spoke about the costs of engaging in budgetary terms.

Interestingly, few of the interviewees spoke much about the benefits of engaging with external entities other than referring the principal investigator to multiple promotional brochures and PowerPoint Slide presentations. Comments about visibility, the ability to garner grants and resources, and the social benefits of engagement were also criteria that were considered by a few of the participants when planning whether to enter into a partnership with an external entity.

Program alternatives. Many of the *criteria* for program alternatives were expressed during discussions about the costs and benefits of entering into specific partnerships. Criteria for alternatives evolved around the themes of values, scholarship, community, visibility, the ability to acquire resources and funding, the societal benefits of engagement, and more recently sustainability. Sustainability, not only in terms of financing and resources, but particularly as it relates to the two-way transfer of knowledge.

Primary research question 2. An analysis of the data sets and information presented provides a picture about the processes that MSU staff use to identify philosophical ideals, external and internal influences, costs and benefits, and program alternatives.

Philosophical ideals. The process of identifying and developing philosophical ideals is reinforced by the formal and informal culture and planning that the university and each department and organization conduct. One participant describes the culture of the organization and its influence on staff values and strategic planning.

There is an informal process of socialization when you enter this office. It doesn't take very long for you to figure out, if you're paying attention, what the value stance is. People espouse it daily. It's all over the web site.

In addition to an open leadership environment, a few staff articulated a liberty and obligation to establish and communicate shared immanent or personal values with colleagues and partners.

I think that is an interesting question, because we have these things, staff are provided really great directives from administration . . . but we've also felt like we have been part of defining what is good for all of us. But when we talk about our values, I think that some people may think it's clear, but I don't think it's always really clear. I think we tend to define that more on our own. So, when we talk about building partnerships, we really encourage the partner to spend time building their values together, and sharing their values. Understanding what my values are, what your values are. What our values are as a group and move forward. It helps to build that identity above and beyond your mission statement.

(MSU Interviewee)

The independent values at MSU have been evolving over the past 150 years—with many of these values influenced and impacted by societal and environmental issues.

University Outreach and Engagement has also matured its independent values over the past 15 years.

The values within the organization have been fermenting over time and have been framed in part by things like selection—we chose people who work here who are committed to this sort of thing. We talk amongst ourselves—I guess that’s also part of the process that I use to determine what the values of the organization are.

I have my ear on the ground and listening to what others are saying. (MSU Interviewee)

Aligning the independent values of the institution with the immanent values of the individual is an essential part of the process of identifying philosophical ideals. “Here I think it’s important that a lot of my personal values are aligned with the organizational and historical values of the entity here—of the university” (MSU Interviewee).

Furthermore, the institutional values of the organization, as in most organizations, are encouraged to align with the independent values of the academy. “I think our organizational values are identified and embraced by our interaction with the larger institution. In the two units that we report to, we are very philosophically connected” (MSU Interviewee). More formal processes of reaffirming values are conducted periodically throughout the year. These confirmations appear in the form of annual reviews, strategic planning, and research development to name a few.

External and internal influences. The promotion and tenure process is described the most as being a disincentive to engagement at MSU. Although over the past ten to fifteen years improvements have been made to the promotion and tenure process to encourage university/community engagement and participatory research, each discipline

emphasizes, weighs, and recognizes engagement scholarship differently. Social sciences (psychology, sociology, etc.) weigh the importance of engagement differently than the “hard” sciences (engineering, computer science, etc.). Most commonly stated as one of the initial steps in the process is to consider whether the effort or partnership aligns with the mission of the university. “If I’m at the point of thinking about incentives and disincentives, I’ve probably already thought about the mission of the institution” (MSU Interviewee). Another influence is the availability of resources to support an engagement. “Do we have the resources to address it? What resources do we bring to bare. How long is this to last” (MSU Interviewee)?

Costs and benefits. There is no formal or sanctioned process that the staff at MSU use to identify the costs and benefits of any particular engagement activity. However, “we do have conversations about that” (MSU Interviewee).

What do you think the risks are? What do you think the benefits are? We have a conversation around those sort of issues. If in that conversation the risk lists keep getting longer and longer and longer, and the benefits lists get shorter and shorter, that probably will guide us to make a decision that we probably should not get involved, find a way out of this, or not really proceed. (MSU Interviewee)

Other interviewees commented, “I’ll say right up front that we don’t do any formal cost benefit analysis. We don’t do an opportunity cost analysis. It’s done informally in our head,” and “I don’t think it’s usually done in a very formal way,” and “It’s informal, in the head.” One interviewee commented, “We don’t have a decision tree. Much of it is tacit knowledge. You know the players, you know the issues. The process is sometimes sitting down with them and talking informally with them over a

series of conversations.” Although there does not appear to be a formal or unified process of identifying and evaluating the potential costs of a partnership with an external entity, there are many informal, and sometimes formal, discussions about the costs and benefits of most partnerships. During these informal processes, UOE staff discuss many topics concerning the costs and benefits. “What are the opportunities? What are the risks for faculty? What are the risks for us? What will we get out of it? What will they get out of it” (MSU Interviewee)? One interviewee expressed specific subjective traits that he/she looks for in a potential partner as part of their risk assessment process.

I think level of interest. People and level of activity that’s generated by partners. Are they motivated? Are they contributing? Are they passive? If they are engaged and they are contributing then the benefits seem to be clear. If they are passive and non-responsive, then you have to question, is this a priority for them. I think that would probably be a way that we would assess that. That would be the criteria. Do they make a contribution? Both in-kind and financial. (MSU Interviewee)

“Sometimes I do sit down and think, if we are going to do this, how much person time are we going to have to put in? What’s that going to end up costing and what is that relative to what the potential impact is? It’s usually relative” (MSU Interviewee).

Interestingly, few participants spoke about the political costs of engaging with an entity external to the university. Most spoke about the political and social benefits. These benefits included additional political support for the university from students, alumni, legislators, and colleagues.

Program alternatives. Most interviewees spoke about alternative ways to approach a particular partnership in terms of alternative partners, timelines, and goals. Staff spoke about coming together in small groups to discuss approaches and alternatives to specific engagement activities. In addition, staff communicate with colleagues who are at the university and outside the university about potential partners that would best contribute toward a specific project. “I bring it back to my colleagues. They have done a lot of work in many of these areas. . . . You rely on the community member’s knowledge, because they are looking at alternatives so they may bring those to the table to begin with” (MSU Interviewee). When asked whether they communicate alternatives with partners, one respondent answered,

I think those discussions do happen. I don’t know if they are a formal type of process. I don’t think of them as necessary, until you get some time to think about these things for a while and digest what it is that the entity is asking for.

One respondent emphasized the importance of getting to know the resources that are at one’s disposal, internally and externally to the institution. “That is the process that I use with my team in the center is to have a good understanding of the communities that we are serving. Also, a good understanding of the university.” Other participants discussed acting as a middle person to pass a potential partnership activity on to another unit or organization.

We usually start with, can we do it now, can we get the resources? Can’t do it now, but the resources may be available later. If for some reason if it demands more attention now, let’s see if we can find partners in other universities that can help out. (MSU Interviewee).

There appear to be no formal process of identifying and examining alternative options for partnerships. “I think that a lot that we do, kind of checklists in our heads are around who and what can be accomplished” (MSU Interviewee). Most of these activities and processes to evaluate alternatives are informal and reactive in nature. However, at least one respondent spoke about taking a more planned and structured approach to establishing partnerships.

Typically, things come at me one at a time and I evaluate it as, given the situation right now, does it make sense to do it? . . . That’s obviously a reactive approach and I’m trying to get away from that. I’m trying to take a more proactive approach and deliberate approach to seeking out partnerships. . . .

Secondary research question A. Many of the costs and benefits expressed by the participants fell into one of two categories or criteria—social and economic. Social costs include lingering legacy issues regarding trust between the community and the university. Past community-based research efforts in which data were collected with minimum follow-up left community members feeling, to a certain extent, exploited. Many of these social costs and benefits were associated with typical “town and gown” issues. Misunderstanding of the role of the university, differences between a tightly structured private business organization and a loosely coupled university environment, and the complexity of the “university machine” are a few of the common issues that influence the costs and benefits of an engagement activity or partnership. A few participants discussed the intangible costs of engagement. These include the acquisition or loss of social capital and prestige, as well as costs in terms of personal time and commitment.

Criteria used to determine the economic costs varied greatly depending on the type of partnership. Nonetheless, few participants articulated the process or criteria they use to calculate the costs of a partnership or engagement activity in terms of funding and resources. Those who did discuss the economic costs of partnerships spoke in terms of contracts and grants (labor hours, equipment, materials, overhead, etc.). Participants also spoke about the social and political benefits of engagement in terms of espousing institutional values, scholarship, visibility, and increased social capital. These social benefits generate tangible economic benefits such as increased resources and funding.

Processes used to identify, evaluate, and communicate the costs and benefits of partnerships or engagement activities vary from unit to unit and from one partnership to another. In the past year, UOE created four cross-unit functional teams and decentralized its budgets to the unit level.

We used to do everything centrally. Now we sort of give people money to run their operations. Now they have to come up with the budgets. . . . Now you have to really think about the money you have and how you are going to combine across units, outcomes that are based on cross-unit collaborations. (MSU Interviewee)

This relatively new organizational structure and budgeting schema is intended to compel the 12 unit managers to think about, plan, and execute budgets. Some units already have extensive budgets consisting primarily of grants and contracts. Budgets are now submitted up the organizational chain and compiled at the associate provost's level. Some units spend very little effort formally identifying the costs and benefits of specific partnership endeavors—socially and economically. However, at least one unit, a self-

supporting budget center, could provide a very detailed analysis of its budgetary status and resources. Although many participants provided few details with regard to the process they use to estimate the costs and benefits of a potential partnership, these new budgeting responsibilities may provide a reason to identify and document the costs and benefits of engagement activities. The cross-unit functional teams may further the development and standardization of program expectations from one unit to another.

Secondary research question B. Many of the values of the institution are reflected in the mission of the land-grant institution. As with most universities, the process of establishing the vision and mission at MSU is a formal and informal orchestration of value statements. As a land-grant university, these value statements closely align with its surrounding communities—geographically and professionally. Other highly publicized value statements (*Bolder by Design*, *The World-Grant University*) prioritize independent values for the institution and its constituents internal and external to the academy. Documents within UOE also align and prioritize independent values within the organization.

Two themes of criteria emerged, social justice and scholarship. The immanent values of the staff of UOE support a strong commitment to social justice and its communities. Most of the partnerships managed by UOE staff promote community and economic development initiatives and underserved populations.

I think we probably have connections and the most ability to build successful partnerships at this point in things that are around underserved populations, poverty, some of these common social problems that we have. But I would like to

be thinking more in an expansive way. That will be in the future. (MSU Interviewee)

“In all of its work, UOE emphasizes university-community partnerships that are collaborative, participatory, empowering, systemic, transformative, and anchored in scholarship” (Michigan State University, 2014j). UOE has a number of initiatives in place to quantify engaged scholarship. These include certificate programs, seminars, webinars, and its Outreach and Engagement Measurement Instrument (OEMI). Beyond engaged scholarship, most UOE staff are involved with the scholarship of engagement—the generation, transmission, application, and preservation of the knowledge of engagement. During the time of the interviews, five staff members were preparing an article about systemic engagement between the university and community change. UOE’s web pages provide access to a wealth of articles and publications, presentations, and documents regarding the scholarship of engagement. UOE staff are involved with numerous national and international organizations that study outreach and engagement and manage the National Collaborative for the Study of University Engagement from its offices at the MSU campus.

Discussion.

Homans (1958) describes social behavior as an exchange of material and non-material commodities or goods. Material commodities or goods can include resources and funding; whereas, non-material commodities can include social approval and prestige. Reinforcing and non-reinforcing behaviors within a group (internal influences) are often determined by the immanent and independent values of its group members. Following similar assumptions of rational choice theory that balance the costs against the

benefits to arrive at action that maximizes personal advantage (Friedman, 1953), SET hypothesizes three principles: outcome, satisfaction, and dependence (Lambe, Speckman & Wittman, 2002). Outcome (value and reward) is the difference between perceived benefits and estimated costs. Satisfaction is the difference between the outcome and the available alternatives (Homans, 1958). Dependence is the difference between outcome and the corresponding level of alternatives (Cropanzano & Mitchell, 2005; Homans, 1958).

Using common elements of rational choice theory and social exchange theory we made the following assumptions:

1. University engagement programs and activities should be grounded with a clear set of established program expectations.
2. Program expectations for the engagement activity are identified, evaluated, and communicated based on criteria gathered from at least four primary components or elements: (a) philosophical ideals, (b) external and internal influences, (c) costs and benefits, and (d) program alternatives.
3. Relationship building (and maintenance) is essential to the success of university engagement activities with an external entity.
4. Clearly communicating and benchmarking program expectations is essential to the success of relationship building and the partnership.

Of the four elements of engagement management (philosophical ideals, costs and benefits, internal and external influences, and program alternatives), philosophical ideals—immanent and independent values—appears to be the most significant and influential element. Presuming that people typically share the same immanent values

(Boudon 1998; Hechter, 1994), the first step to fostering partnerships within the engagement management framework is identifying and establishing a common set of immanent values. Multiple entities with varying or conflicting immanent values are less likely to succeed in a partnership. Philosophical values are usually considered first and foremost, and anchor the development and management of the partnership or engagement activity. These criteria, in the form of MSU's institutionalized values, include the potential to study, generate, and apply engagement theories and practices. UOE staff also highly value the ability to facilitate and engage with entities external and internal to the university to transfer and acquire knowledge and address social issues. Many of these institutional or independent values are deeply rooted in the culture of MSU as a result of the strategic integration and incorporation of "university engagement" in to the vision and mission of the university. Engagement is a philosophical ideal that is embraced by the leadership of MSU and accordingly embraced by the institution as a whole.

In ivory towers around the world, something revolutionary is under way: students and faculty, often side by side, are filling in the moat of academic isolation and streaming out the gates to become active players in the life of their communities. This blossoming enthusiasm for engaged citizenship, already familiar at American colleges and universities, is redefining the global relationship between the academy and the public interest—and anyone who cares about social justice, environmental progress, and the eternal tug of war between developing nations and the industrialized world should be very excited indeed. (Hollister, 2014, para. 1)

Eddy (2010) describes self-driven intrinsic motivators to engagement such as the need to satisfy personal needs and goals based on values such as social status, power, idealism, and honor, and external or extrinsic motivators such as coercion, mandates, money, or exertion of power. There are many influences, internal and external to MSU, including political and social ramifications, visibility or prestige, the ability to generate

engaged scholarship, and MSU's institutional values. Another clear influence and motivator is the level of acceptance and recognition of university outreach and engagement across units throughout the university. These influencers are also aligned closely with the costs and benefits that each participant perceives of the partnership. Although considered obvious by the participants, only cursory mention was made with respect to the criteria used for evaluating or identifying monetary costs and benefits.

Hollister (2014) identifies five converging factors that are driving a global engagement movement:

First, higher education is expanding dramatically. In 2005, the world had 100 million university students, half in developing countries. By 2030, the number will double to 200 million, with most growth in the developing world. Of this huge reservoir of talent for attacking social problems, only a small fraction has been tapped.

Second, in the context of immense unmet societal needs, groups outside academia are demanding that institutions of higher education, especially in developing countries, contribute more directly to social and economic development.

Third, universities—especially in the developing world—desperately need more financial support, and are eager for new ways to attract public and private funding. They are discovering that more robust community engagement can build such support.

Fourth, several countries are directly promoting increased university civic engagement, with requirements that university students perform specified amounts of public service, and new expectations that universities contribute more directly to local development.

Fifth, growing numbers of substantial university civic engagement programs are generating mounting evidence that they work. These proven models both inspire and guide new efforts around the globe. (Hollister, 2014)

MSU's publication and endorsement of *A World Grant Ideal* supports Hollister's concept of the global engaged university. This forward thinking movement of embracing a world grant or globally engaged university is being legitimized and endorsed by public

universities such as Ohio State University, Penn State University, Colorado State University, Montana State University, University of Texas at El Paso, University of Idaho, and many others throughout the U.S. and the world.

Many of the processes that are used to identify, evaluate, and communicate expectation of potential partnerships are informal and unofficial. There are few specific structured approaches, procedures, measures, or actions in place to identify, evaluate, or communicate these elements of program management for engagement activities. Instead, UOE's current organizational structure with overlapping functional committees encourages formal and ad hoc cross-team conversations between units and individuals about the logistics and scholarship of engagement.

Although outreach and engagement are embraced by the university as an integrated element of teaching, research, and service, the traditional policies of promotion and tenure at MSU allow the various units throughout MSU to interpret the importance and priority of engagement broadly. In some ways it allows each organization within MSU to adapt engagement activities and scholarship to the needs and operation of each individual organization. In other ways it can discourage engagement over other organizational priorities.

A combination of traditionalism and turf protection plays a significant part in the academy's resistance to encouraging the development of the various forms of community-based participatory research (CBPR). Although university faculty generally see themselves as among the more open-minded and progressive forces in our society, at the same time they are more likely to be the defenders of constraining academic traditions. (Nyden, 2003)

Nyden (2003) also identifies the notion that the "community is naturally biased in protecting its self-interest. The assumption is that academic disciplines and professional

schools are more objective and free from the day-to-day political influences present in outside communities.” Finally, some academics see community-based research or engagement as limited in scope (Nyden 2003, Vortruba, 1978).

In 2000, MSU revised its promotion and tenure policy to accommodate the scholarship of outreach and engagement. Instead of having engagement as a separate section on the promotion and tenure form, outreach and engagement was embedded throughout the form. Other revisions to the promotion and tenure process at MSU included:

1. Emphasizes multiple definitions of scholarship.
2. Promotes the use of evidence to document the quality of that scholarship.
3. Embeds opportunities to report scholarly outreach and engagement throughout the form.
4. Distinguishes among service to the university, service to the profession, and to the broader community.
5. Includes new questions focused on the scholarship of integration.
6. Broadens the list of examples of scholarship to include scholarly outreach and engagement in each section. (Doberneck, 2010)

The types of engaged scholarship that was recorded included credit instruction, non-credit instruction, public understanding, creative activities, business, industry, and commodity group research, technical assistance and expert testimony, patient and clinical services, and commercialized activities (Doberneck, 2010).

In spite of this, some units, particularly hard sciences, may discourage engagement, especially for newer faculty establishing themselves at the institution. Other

units, particularly in the social sciences, are more likely to encourage outreach and engagement in one form or another. Most judgments about the influences, costs, benefits, and alternatives tend to be subjective and based on limited quantifiable data.

Surprisingly, few participants spoke about any process of communicating the specific elements of engagement management with potential partners. Program expectations are typically communicated in the form of immediate and long-term outcomes for the project or partnership. Most indicated that they do not consciously or formally discuss many of the elements of program expectations with potential partners. A few participants indicated that some engagement management elements are assumed (values, costs, and benefits) based on passively, and in some cases, actively collected information and knowledge about the potential partner. However, very few efforts are made to actively communicate these elements of engagement management during the initial stages of partnership development. Although, at some point in a developing partnership, memorandums of agreement or contracts are established and many of these criteria are identified. These elements may include fiduciary and resource responsibilities (costs and benefits), value statements (philosophical ideals), and outcomes.

Overall, the engagement management framework worked well as a template for compiling and categorizing the criteria and processes that MSU staff use to identify, evaluate, and communicate its program expectations for engagement activities or partnerships with external entities. Most, if not all of the criteria and processes identified fell within the four primary elements, philosophical ideals, internal and external influences, costs and benefits, and program alternatives. One suggestion for modification of the framework would be to prioritize or order the four elements with philosophical

ideals as the highest priority followed by internal and external incentives, costs and benefits, and program alternatives in successive priority.

The future of engagement at Michigan State University appears to be optimistic and encouraging with it continuing to be an intricate and stable part of the institution. Engagement has proven to be an essential component of the institution's vision and mission and it is profoundly integrated into the ethos of the institution.

The most exciting fact about this future is that it is realistic and attainable. We know it is a practical vision, *because it is already happening*. Brick by brick around the world, the engaged university is supplanting the ivory tower. With concerted support, this movement can really soar—enhancing the quality of universities' education and research, multiplying many times what they contribute to their host communities, and building a new compact between the academy and society. (Hollister, 2014)

Summary

Michigan State University champions engagement, particularly the scholarship of engagement, and in April of 2014 received the Michigan Engaged Campus of the Year Award from the Michigan Campus Compact, an organization that “promotes the education and commitment of Michigan college students to be civically engaged citizens, through creating and expanding academic, co-curricular and campus-wide opportunities for community service, service-learning and civic engagement” (Michigan Campus Compact, 2014). Outreach and engagement is not just a separate division or unit on campus or relegated to a specific student services department, it is intricately incorporated into the philosophy and values of the institution. Although many of these criteria and processes are unofficial and undocumented, there are similarities that have emerged that can be categorized and integrated into the engagement management framework. University Outreach and Engagement at MSU has honed its engagement and

outreach practices and research over the years to the point where it is recognized nationally and internationally as a leader in the scholarship and application of university engagement.

Chapter 4 provided the reader with a history of engagement at Michigan State University incorporating the collective voices of interviewees participating in this research. In addition, each research question was examined exposing many of the criteria and processes MSU's University Outreach and Engagement staff use for identifying, evaluating, and communicating program expectations. Although the majority of these process and criteria are not documented and are tailored to the unique characteristics of each unit and partnership, there are many common themes that pervade. Chapter 5 first examines the findings for themes under each of the four elements of engagement management (philosophical ideals, internal and external influences, costs and benefits, and program alternatives). The second section integrates the framework for engagement management to offer "best practice" recommendations for staff involved with university engagement activities. The third section provides observations and discussion, followed by suggestions for future research.

Chapter 5: Recommendations and Further Research

Introduction

The purpose of this study was to gain a better understanding of (a) how a public, land-grant institution systematically approaches the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.). Engagement is defined as a formal, two-way activity involving the commitment of equitable time and resources from all parties involved with a partnership. Furthermore, an engagement activity (or partnership) involves mutual development and sharing of program expectations. The conceptual framework used in this research (engagement management) identified four elements (categories) for identifying, evaluating, and communicating program expectations: philosophical ideals, external and internal influences, costs and benefits, and program alternatives (Figure 9). The engagement management framework incorporates some of the principles common to social exchange theory (SET) and rational choice theory (RCT), making the following assumptions:

1. University engagement programs and activities should be grounded with a clear set of established program expectations.

2. Program expectations for the engagement activity are identified, evaluated, and communicated based on criteria gathered from at least four primary components or elements: (a) philosophical ideals; (b) external and internal influences; (c) costs and benefits; and (d) program alternatives.
3. Relationship building (and maintenance) is essential to the success of university engagement activities with an external entity.
4. Clearly communicating and benchmarking program expectations is essential to the success of relationship building and the partnership.

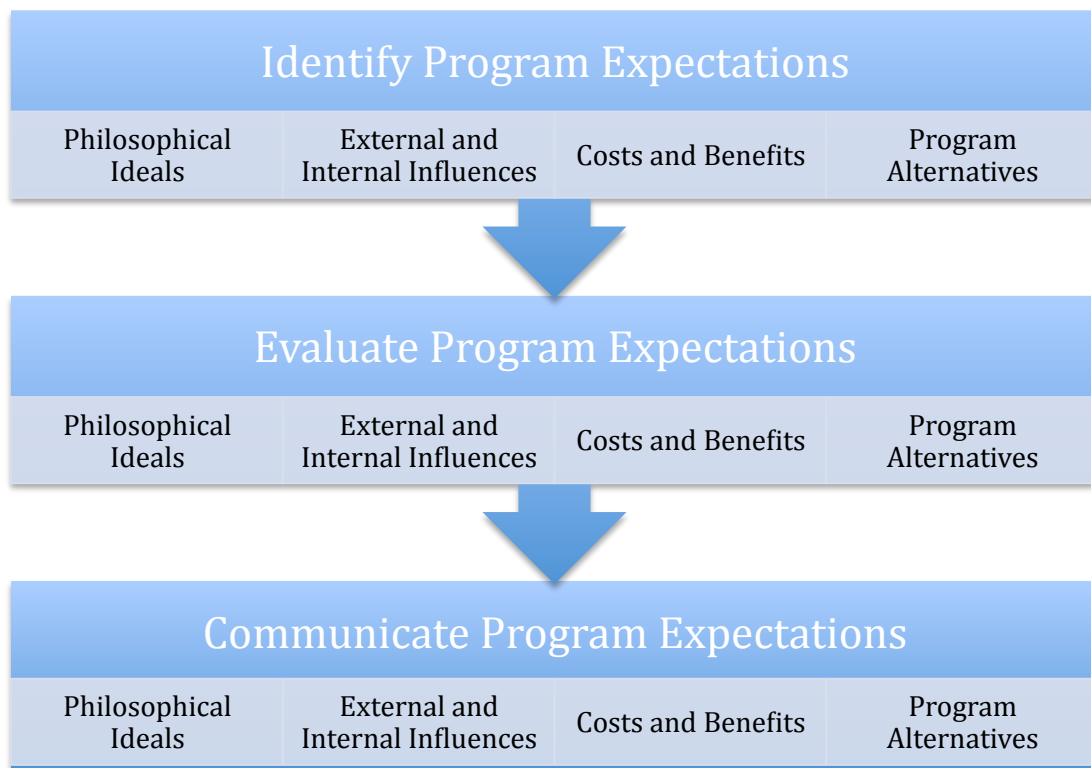


Figure 9. *Engagement Management: Managing program expectations to support relationship building.*

Both SET and RCT contend that the process of relationship building (both internally and externally) is a critical element in the success of an engagement activity between two or more individuals or groups. Relationship building begins with the establishment and agreement of clearly defined and realistic program expectations and benchmarking the success of the engagement activity against the program expectations. Components of SET and RCT also suggest that each party needs to identify, evaluate, and communicate its philosophical ideals (instrumental and immanent values and beliefs, mission, priorities, etc.) as well as any internal and external influences that may manipulate the direction of the partnership. Understanding and communicating these program expectations provides a solid foundation for managing the expectations of the partnership.

The primary intent of this research was to examine one prominent public, land-grant university outreach and engagement organization and the criteria and processes staff use to identify, evaluate, and communicate the program expectations (philosophical ideals, costs and benefits, internal and external influences, and program alternatives) of planned engagement activities or potential partnerships with external entities. These elements support the relationship building process during engagement activities universities conduct with entities external to the academy. The research questions were crafted to examine the primary intent of this study.

Primary research questions:

1. What criteria did university engagement staff use to identify, evaluate, and communicate program expectations?

2. What processes did university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes did university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes did university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

Chapter 3 provided an outline for the setting and context of the research, the sample and data sources, research procedures, data collection processes, data analysis techniques and tools, the role of the researcher, and limitations of the research. Chapter 4 provided the reader with a history of engagement at Michigan State University incorporating the collective voices of interviewees participating in this research. In addition, each research question was examined exposing many of the criteria and processes MSU's University Outreach and Engagement staff use for identifying, evaluating, and communicating program expectations. Although the majority of these process and criteria are not documented, and tailored to the unique characteristics of each unit and partnership, there are some common themes that pervade. Chapter 5 first examines the findings for themes under each of the four elements of engagement management (philosophical ideals, internal and external influences, costs and benefits, and program alternatives). The second section integrates the framework for engagement management to offer "best practice" recommendations for staff involved with university

engagement activities. The third section provides observations and discussion, followed by suggestions for future research.

Findings and Themes

At this point, it is important to interject some thoughts about the words *criteria* and *process*. Criteria are usually defined as a standard of judgment or criticism. This often subjective and personal norm can be applied to an infinite range of criteria that fall within the four elements of engagement management. However, some of the criteria may be more easily measured than others. Direct or tangible verses indirect or intangible costs and benefits. How are criteria measured? Time, money, success, values, prestige? Processes can be mechanical and inflexible. Do specific processes restrict or hinder creativity and flexibility? Many of the processes and criteria that MSU staff use to identify, evaluate, and communicate program expectations are informal, internal, and individual. During the interviews, many respondents expressed that they consider certain criteria intuitively; however, they rarely think about a process for identifying specific criteria prior to or during an engagement activity.

Philosophical ideals. In 1990, Ernest Boyer published the book titled *Scholarship Reconsidered: Priorities for the Professorship*. Boyer considered the traditional academic roles of research, teaching, and service too constricted and encouraged academic silos. Boyer redefined the conventional model of scholarship (research, teaching, and service) into four categories: discovery, integration, application (later called the scholarship of engagement), and teaching (and learning). The intent was to

Give the familiar and honorable term of “scholarship” a broader, more capacious meaning, one that brings legitimacy to the full scope of academic work. . . . But the work of the scholar also means stepping back from one’s investigation, looking for connections, building bridges between theory and practice, and communicating one’s knowledge effectively to students. (Boyer, 1990, p. 16)

Although prestige and reputation are usually thought of synonymously, Brewer, Gates, and Goldman (2003) apply and distinguish reputation and prestige separately. Prestige is described as somewhat intangible and is always expressed in a positive manner. The authors contend that prestige oriented universities identify quality students, research, sports, and, in a non-economic model, high-quality faculty as prestige generators. Unlike reputation, advances in prestige inherently come at a loss to others’—a zero-sum game. Subsequently, reputation, whether bad or good, is based on the institution’s ability to meet the relatively specific demands of its constituents. These requirements tend to be more localized and change with the demands of its environment. Institutions that are focused on reputation tend to be more high-quality service oriented than prestige-focused universities. Ultimately, whether an institution’s strategy is to advance its reputation or prestige, both are intended to increase its resources from public support, private funding, enrollments, and research funding (Brewer, Gates, & Goldman, 2003).

The principal criteria identified that are used by MSU staff to determine its philosophical ideals for engagement activities include:

1. Will the engagement activity support the core values and imperatives of the *Bolder by Design* strategic framework? If so, in what ways?
2. Will the engagement activity support the mission of University Outreach and Engagement? If so, in what ways?

3. Will the engagement activity increase scholarship—the generation, transmission, application, and preservation of knowledge? If so, in what ways?
4. Will the engagement activity support the reputation and/or prestige of the institution? If so, in what ways?

Michigan State University conducts many formal and informal activities that promote the prestige and reputation of the university. Whether MSU is focused on prestige or reputation, the immanent (personal or idiosyncratic) and independent (group or organizational) values engrained in the institution greatly influence its prestige and reputation. Many of these values are reflected in the mission and goals of the university. Michigan State University's immanent and independent values are very clearly defined and communicated in its strategic framework for the institution. MSU's *Bolder by Design* strategic framework "propels [MSU] forward with emphasis on accelerating the pursuit of the big ideas, innovation, and global impact" (Michigan State University, 2014i). It defines its core values as:

- Quality: Continually striving to be among the best in all we do and to be the best in key areas.
- Inclusiveness: Building a vibrant, diverse community that values and embraces a full spectrum of experiences, viewpoints, and intellectual approaches.
- Connectivity: Aligning our assets to reinforce and enhance one another, building vital partnerships, and collaborating locally, nationally, and globally. (Michigan State University, 2014i)

The *Bolder by Design* strategic framework also projects six strategic imperatives:

- Enhance the student experience

- Enrich community, economic and family life
- Expand international reach
- Increase research opportunities
- Strengthen stewardship
- Advance our culture of high performance

The *Bolder by Design* strategic framework provides a concise vision of the institution's commitment to its core values, role in its communities (locally, nationally, and internationally), and scholarship. The *Bolder by Design* strategic framework is skillfully promoted and communicated widely throughout its internal and external communities via public speeches, an assortment of distributed documents, posters, electronic media, and events to name a few. The strategic framework provides an anchor for all university teaching, research, and service activities. Immanent and instrumental priorities, standards, and values are identified, evaluated, and communicated through this strategic document. MSU's strategic framework emphasizes a close and engaged connection with its communities. In an annual address to the community, President Simon (2013) reaffirmed MSU's commitment to community engagement by sustaining its

position as world leader in engaged scholarship, advancing our reputation for leveraging expert knowledge in addressing societal and economic issues and for continually contributing to developing that knowledge into a body of lessons learned for sharing and speeding solutions to vexing, constantly changing problems. (p. 15)

She continued by asserting that MSU would "create the model 21st-century Extension, focused on transforming urban and rural communities to better promote their own

prosperity through partnerships targeted toward addressing community-defined challenges at home and globally” (Simon, 2013, p. 15).

MSU’s Office of the Associate Provost for University Outreach and Engagement carefully and closely aligns its philosophical ideals with the strategic framework of the university. Using Ernest Boyer’s four key components of scholarship (discovery, integration, application, and teaching) as a premise, in 1993, the MSU Provost’s Committee in University Outreach defined outreach and engagement as “scholarly activities embedded in the generation, transmission, application, and preservation of knowledge for the direct benefit of external audiences, rather than as a set of separate ‘service’ activities detached from teaching and research” (Michigan State University Board of Trustees, 2003, p. 1). UOE’s Outreach and Engagement Knowledge Model (Figure 7) defines the principle of the scholarship of engagement: “that is, outreach and engagement activities should reflect a scholarly or knowledge-based approach to teaching, research, and service for the direct benefit of external audiences” (Michigan State University, 2014a). UOE aggressively integrates scholarship into all of its engagement activities.

Scholarship—the generation, transmission, application, and preservation of knowledge—defines the role, prestige, and reputation of the university. These elements of scholarship are integrated into and reflected in the culture of the university. The theme that is prominent within UOE is the value and benefits of engaged scholarship. Engaged scholarship bolsters the prestige of the university, but to more of an extent the prestige and reputation of UOE. “I’m concerned with the reputation of my lab, with the reputation of MSU, and I’ll always want to make sure what we do and produce here is

worthy of coming out of a research one university” (MSU Interviewee). UOE staff value the benefits of scholarship in the form of engagement and community and participatory research.

MSU and UOE dedicate a certain amount of resources to educate the public with respect to understanding the nature, process, and benefits of scholarship. However, it is often assumed that the average unexposed layman understands the nature of scholarship, particularly engaged scholarship. When an MSU interviewee was asked whether he thought that perhaps the community did not understand the concept of scholarship, he responded: “No. I think the community understands that idea, but when you talk to them about indigenous knowledge, they get what scholarship means without using that word.” Scholarship may be a simple and fundamental concept for those who are exposed to a university environment or scholarship on a regular basis. Nevertheless, the concept of engaged scholarship can often be confusing and mysterious to the uninitiated.

A last comment about the philosophical ideals and values of the Michigan State University. One can intuitively feel the strong Michigan State University commitment to its values and ideals as a person walks across the campus or engages with students, faculty, and staff. The campus is carefully adorned with banners and posters expressing the values and mission of the university. *Bolder by Design* is a very familiar concept to MSU and its constituents and communities. *Boldness by Design* is intricately and strategically incorporated into the culture and philosophical ideals of the institution and communities of Michigan State University.

Internal and external influences. Many influences internal and external to the MSU motivate or de-motivate the development of a partnership or engagement activity.

However, there are few formal processes or criteria for identifying these internal and external influences that may affect the development of a partnership or engagement activity. Some internal and external influences affect all engagement activities. For example, the fundamental mission of a land-grant university, budget, and available resources. Other internal and external influences are more specific to the individual engagement activity. For example, travel distance, scholarship capacity, and ability to generate additional resources.

The principal criteria used by MSU staff to determine internal and external influences on an engagement activity include:

1. Will the engagement activity expand and/or apply the scholarship of a discipline?
And, in the case of UOE staff, the scholarship of engagement? If so, in what way?
2. Will the engagement activity be recognized in the promotion and tenure process?
3. Will the engagement activity have the potential to affect MSU's social and/or resource capital? If so, in what way?

Michigan State University provides some incentives for faculty and staff to engage with entities internal and external to the academy. In 2000 the promotion and tenure form was revised to recognize engagement as a scholarly activity, fundamental promotion and tenure processes is perceived to be the largest disincentive to engagement and partnering with external entities.

That continues to be the major concern of faculties across the country, of all the places I go to consult. How do you handle the P and T process? Do you have promotion and tenure things in all your by-laws, in all your departments and

everything? We have a lot of them here [in UOE], but some departments don't have anything in them. (MSU Interviewee)

"Many of us of my generation were raised as a single investigator kind of idea. The lab war kind of thing. You're in my lab. So the promotion and tenure process system was created around that" (MSU Interviewee). In 2000, MSU's promotion and tenure form was revised to recognize engagement in the annual review process. Although departments vary in their emphasis on university engagement, progress has been made over the past 25 years where many departments are beginning to accept engagement as a legitimate and recognizable scholarly activity. Initially, engagement activities evolved out of trans-disciplinary, cross-disciplinary type of work and research. As the scholarship of engagement advanced within MSU, and particularly within UOE, the definition of university engagement became broader and more encompassing of scholarship activities. Overall though, engaged scholarship and the scholarship of engagement appear to be well recognized and supported in one form or another throughout the MSU campus.

You can't solve the water problems with the Great Lakes in somebody's lab. All the disciplines that feed into that and all the cross-disciplinary kinds of stuff, and all the actions of students and people in the communities, and the complexity of that system almost drives the P and T process to have to be different. I think that has driven more of it than just engagement, although we're part of that. (MSU Interviewee)

Although many strides have been made to integrate and recognize the scholarship of engagement in the promotion and tenure process, there remain some shortcomings.

MSU interviewees indicated that it appeared easier for faculty in the social sciences to adapt engagement scholarship than faculty in the hard sciences.

We still have, there are still quirks in the system with faculty who have joint appointments. Always going to have that. They all have a lead department. Any time you are in two or more departments, you have all those different voices around, accessing the quality of your work. That's always going to be an issue. It's less so now here, but in other places it's a major issue. (MSU Interviewee)

Interestingly, very few interviewees commented about political pressures from outside constituents or politicians to influence or motivate university engagement. This could be for a number of reasons. Perhaps MSU's reputation for serving the needs of the community is well established and viewed in positive terms by its communities. Perhaps a lack of state funding toward higher education in Michigan curbs politicians from using funding to influence higher education engagement within the state. Albeit, other external entities are beginning to expect universities to engage with multiple entities in order to qualify for their funding and resources.

NSF, NIH, almost every branch of government now that funds things externally wants a problem solved. And they don't want it solved in the middle of your campus. They're not just talking about a letter—these people are wonderful and they're going to do this for us. They want real partnerships. Because they understand that that is required for sustainability. That's been a real help. The universities that sort of woke up to that quickly have benefitted from it. We've certainly benefitted from it. Our external funding has grown dramatically, under

the engagement scholarship time-period because so many people sort of get it.

(MSU Interviewee)

In 1996, UOE published the document, *Points of Distinction*. This guidebook provides guidelines for planning and evaluating outreach and engagement activities. UOE staff possess a strong knowledge of MSU's resources and provide engagement advice and consultations to constituents internal and external to the university. This advice ranges from matching compatible partners for research opportunities, to advice on acquiring grants and other types of funding to support an engagement activity.

Costs and benefits. Many of the criteria for the costs and benefits can be identified within the data collected in the annual OEMI survey of outreach and engagement activities. The principal data or criteria identified that are used by MSU staff to determine costs and benefits of an engagement activity include:

1. What is the specific purpose of the engagement activity?
2. Will the engagement align with the university's strategic imperatives? If so, which imperatives?
3. Will the engagement activity address societal issues? If so, what issues?
4. Will the engagement activity impact an external audience? If so, in what way?
5. What scientific or research methods will be used?
6. Will the engagement activity require involvement of internal partners, units, and/or students? If so, who?
7. How much personnel time will the engagement activity require?
8. Who will be the non-university partners and participants?
9. What is the anticipated duration of the engagement activity?

10. Will the engagement activity produce scholarship? If so, in what way?
11. Will external funding be available for this engagement activity? If so, how much and from where?
12. Will the non-university partner(s) provide in-kind support? If so, in what form and how much?
13. Will the engagement activity produce intellectual property? If so, what type?
14. Will the engagement activity be evaluated? If so, how?

In 2004, Michigan State University's Office of the Associate Provost for University Outreach and Engagement launched an annual survey that collects data from academic staff and faculty regarding their outreach and engagement activities. The Outreach and Engagement Measurement Instrument (OEMI) collects two types of data.

Data on faculty effort:

1. Time spent (salary value serves as the basis of an *investment* metric)
2. Societal issues addressed
3. University strategic imperatives
4. Forms of outreach and engagement
5. Location of intended impact
6. Non-university participants
7. External funding
8. In-kind support

Data on specific projects:

1. Purposes
2. Methods utilized

3. Involvement of partners, units, and students
4. Impacts on external audiences
5. Impacts on scholarship
6. Creation of intellectual property
7. Duration
8. Evaluation

The process of data collection is conducted each winter through an online survey available each year. All 17 colleges and major administrative units (faculty and academic staff) are invited to report their engagement activities from the previous year.

Much can be learned about the costs and benefits of university engagement from the OEMI database. Between 2004 and 2012, 3,103 people (non-duplicated) responded to the survey in which 83 percent reported that they participated in some form of outreach and engagement activity (7,581 total project reports). The forms of engagement reported by MSU faculty and academic staff include clinical service, experiential/service learning, public events and understanding, non-credit classes and programs, credit courses and programs, technical or expert assistance, and outreach research and creative activity.

The work reported by these respondents represents a collective investment by Michigan State University of \$148,185,141 in faculty and academic staff time devoted to addressing the concerns of the state, nation, and world through engaged scholarship (based on the actual salary value of time spent as reported by respondents). (Paton, Proctor, & Bargerstock, 2013)

MSU utilizes the data collected by the OEMI in many ways to evaluate the costs and benefits of engagement activities around the campus.

1. OEMI data was used in MSU's last accreditation and Carnegie community engagement classification self-studies (MSU was a pilot site for the classification).
2. The data has been used to document progress on MSU strategic imperatives (*Boldness by Design*).
3. Targeted briefing material, based on the data, is frequently requested by the President's office to support public speaking appearances.
4. Data documenting the thematic diversity and salary investment of university contributions to scholarship for the public good is annually published and shared with faculty and stakeholders.
5. Unit-level data is periodically requested by department chairs and directors, and is also annually provided to deans to support planning and assessment activities.
6. Geographic data has been used to map the locations of partnerships for proposals and other university development efforts (e.g., community, regional, and national foundations).
7. The data has helped to identify faculty working in particular communities and/or around specific topics for the purpose of organizing systemically-focused community-based initiatives (e.g., Lansing, Detroit, Flint, STEM, health, child abuse, schools, economic development, transportation, Hispanic students, Native American projects, others).
8. Potential participants for faculty development efforts have been identified from the data.

9. The data is routinely reviewed in order to catalog engagement opportunities and outreach programs for the public.
10. Original research has been conducted using the data. (Paton, Proctor, & Bargerstock, 2013)

The OEMI plays a critical role in quantifying the costs and benefits of MSU's engagement activities. These costs and benefits are used to bolster the visibility, reputation, and prestige of the university. OEMI may identify a university investment of billions of dollars in time and resources for engagement activities; however, as a public land-grant university, awareness of these types of investments that benefit communities can help in building social and political capital. The university invests in its engagement activities, but it also receives benefits in the form of external funding and resources. These data are also collected and analyzed using the OEMI.

As with most data collection surveys on university campuses, the OEMI has some challenges. Competing surveys and reports and indirect communications with respondents leads to a lower than desired response rate. Furthermore, regardless of how much has been communicated about the role and meaning of engagement, multiple interpretations continue to exist (Paton, Proctor, & Bargerstock, 2013). Finally, because data is collected for engagement activities already underway, it is difficult to discern how these criteria are initially identified, evaluated, and communicated to partners.

UOE provides a number of incentives to faculty and staff that recognize and reward engaged scholarship. Described briefly in chapter 4, these annual awards provide recognition and monetary rewards for exemplary engaged scholarship with a community partner; innovative and/or sustained effort in the area of academic, curricular, or co-

curricular service-learning/civic engagement that is specifically linked with the mission and efforts of their colleges; laudable civic engagement with the community for the benefit of the community; and outstanding outreach and engagement activities.

Program alternatives. The identification of program alternatives is based on criteria identified in the other elements of program engagement management (philosophical ideals, costs and benefits, and internal and external influences).

That sort of dialog needs to occur relatively early on in the process so you are able to estimate, and I think this gets to your element of risk, what are they willing to undertake and what risk are they willing to take in changing their behavior such that they are likely to get the desired outcome that they seek. This process allows that dialog to occur. They learn a few things about how other, perhaps, have approached the problem. What outcomes they are seeking? That changes that may be required of them. At that point, they decide, are we going to do it or not. Sometimes they decide not to do it and they look for another alternative. Maybe we'll just do something else. (MSU Interviewee)

The principal criteria identified that are used by MSU staff to determine program alternatives of an engagement activity include:

1. Are there alternative partners who would be more committed to the engagement activity? If so, who?
2. Is there an alternative way to approach the issue or problem? If so, how?
3. Is there an alternative approach to the scholarship? If so, in how?
4. Is there an alternative approach to the engagement activity that would reduce the risk? If so, how?

5. Will the engagement activity be sustainable if the partnership disbands? If so, how?

The processes to identify the criteria vary from unit to unit, project to project.

Most units within UOE evaluate identify and evaluate program alternatives informally before bringing it to another individual or group of people.

I'll say right up front that we don't do any formal cost benefit analysis. We don't do an opportunity cost analysis. It's informal, in the head, it's going through the list of things that I have been repeating. What are the opportunities? What are the risks for faculty? What are the risks for us? What will we get out of it? What will they get out of it? (MSU Interviewee)

Another MSU interviewee responded with,

When I think of that question I picture a menu of options that are available and it's not really the case. Typically, things come at me one at a time and I evaluate it as, given the situation right now, does it make sense to do it?

Nevertheless, conversations are conducted and meetings are held to discuss ongoing and potential partnership and engagement activities.

We talk about, what do you think the risks are? Depending on the project, there's no, what do you think the risks are? What do you think the benefits are? We have a conversation around those sort of issues. If in that conversation the risk lists keep getting longer and longer and longer, and the benefits lists get shorter and shorter, that probably will guide us to make a decision that we probably should not get involved. Find a way out of this, or not really proceed, things like

that. Everybody now sort of does that at their own team level. (MSU Interviewee)

When asked to describe the process used to identify and evaluate alternative options for potential university engagement or partnering opportunities, one interviewee responded,

I suppose we take a look and say, we'd be willing to take it on but we want a different goal. . . . We might say no. We might say yes, maybe. I think we reflect it against our principles that are advanced through our mission. The alternative would be, change the composition of the stakeholder network. (MSU Interviewee)

Many of the criteria that are used to identify and evaluate the potential alternatives are identified in the three other elements of engagement management. Criteria for alternatives followed the themes of values, scholarship, community, visibility, the ability to acquire resources and funding, the societal benefits of engagement, and more recently sustainability.

We use the same definition that Ed Trickett uses at the University of Chicago. . . . He said, never define sustainability in terms of a program. Programs come and go. What's sustainable is the extent to which you have helped your community partners know how to get the next program. They now know how to write grants. They know how to mobilize and build teams. They know how to work their government agencies. They now know, now know, now know.... With that knowledge, that's the sustainable part in a community partnership. What people

take away in terms of sustainable knowledge of how to do things. (MSU Interviewee)

A number of participants mentioned that sustainability is now playing a more important role in their decision to engage in a partnership. However, sustainability not necessarily in the traditional sense.

That means that when you have a partnership, sustainability means that you always think about the transfer of knowledge, in both directions. To the extent to which you transfer knowledge of effective skills and abilities, that's sustainable, and that's what you should think about. Don't think about the program. Someone will cut the funds and the program goes. Do they have to come looking for another you to do that or can they say, now we know how to do that. That's how we think of sustainability now. The extent to which the knowledge transfer has taken place. From our perspective is, what have we learned from the community folks that is sustainable for us in a way that we work with communities. So it goes both ways. We talk about that in our staff meetings. Why did that work? What'd you learn from that? Things like that. We share those experiences. (MSU Interviewee)

Interviewees talked about making personal assessments regarding the partner's level of commitment. These subjective judgments are based on elements of program engagement management and help the participant to evaluate whether other alternatives should be sought. Another interviewee expressed his ongoing assessment of partner commitment by stating,

That's the principle dimension when I think of commitment. Are they willing to follow through with whatever. Whether it's putting up resources. Whether it's connecting with something else. Whether they're carrying out whatever they said they were going to do. How well they do it. Do they do it in a timely fashion? . . . You know that they are still engaged if they haven't played you and left. It's a very complex and dynamic environment.

Most interviewees indicated that the discussions of program alternatives is often informal and serendipitous.

Do they bring alternatives to the table? Yes, we discuss them. Particularly if I feel like you want to try and take advantage of the situation, we're going to discuss how we're going to do this. I think those discussions do happen. I don't know if they are a formal type of process. I don't think of them as necessarily, until you get some time to think about these things for a while and digest what it is that the entity is asking for. (MSU Interviewee)

Along with alternative to specific partners and approaches to a particular issue or problem, the availability of alternative resources and time were also considered program alternatives.

If we can't do it due to constraints, then we suggest options in terms of time, doing it a year from now. Or, identifying potential resources that might contribute to getting something done. Sometimes that may be looking for partners at other universities. . . . We usually start with, can we do it now, can we get the resources. Can't do it now, but the resources may be available later. If for

some reason if it demands more attention now, let's see if we can find partners in other universities that can help out. (MSU Interviewee)

Recommendations

There are a number of lessons that can be learned from this case study of Michigan State University's Office of the Associate Provost for University Outreach and Engagement. At present, although most of the core elements of engagement management appear to be present in one form or another when initiating an engagement activity, very few formal processes are in place at MSU to identify, evaluate, and communicate these elements of engagement management, internally or externally. The most established and documented process of identifying specific criteria for an element of engagement management is that of identifying the philosophical ideals of the engagement activity. The philosophical ideals for MSU and its divisions and units are well documented and engrained into the fabric of the institution. Costs and benefits, internal and external influences, and program alternatives tended to lack a tangible process for the identification, evaluation, and communication of their engagement management elements.

Birnbaum (1988) portrays higher education institutions as loosely coupled organizations, describing the "connections between organizational subsystems that may be infrequent, circumscribed, weak in their mutual effects, unimportant, or slow to respond" (p. 38). Tightly and loosely coupled organizations are differentiated by "the extent to which subsystems have common variables between them and the extent to which the shared variables are important to the subsystems" (Birnbaum, 1988, p. 39). There are advantages and disadvantages of loosely versus tightly coupled organizations.

Loosely coupled organizations can be costly due to uncoordinated efforts, slow response to institutional or environmental change, or difficulty to repair defective subsystems within the institution. There are also advantages to loosely coupled organizations whereas specific subsystems can react to environmental demands without requiring the entire organization to mobilize. Loosely coupling also allows the institution to localize ineffective or underperforming subsystems within the organization.

MSU's UOE can be described as a tightly coupled organization having many shared common variables, particularly its philosophical ideals. However, UOE can also be considered loosely coupled in its approaches to the other engagement management elements (identifying, evaluating, and communicating its costs and benefits, internal and external influences, and program alternatives). Recently, UOE established cross-unit functional teams to create synergy, encourage communication and engagement, and tighten the coupling between its units within UOE. A question to consider for the future is, will these new cross-unit functional teams help to standardize or will they diversify UOE's engagement practices?

Based on the findings of this research, it is recommended that higher education institutions consider a strategic approach to managing its engagement and partnering activities. Whether an academic institution is considered loosely or tightly coupled organizationally, engagement management provides an underlying framework for approaching and managing partnerships and engagement activities. Staff should be aware of the fundamental elements of engagement management and consider each element and criteria carefully as it performs its duties nurturing and developing engagement activities and partnerships with entities internal and external to the

university. Processes should be established to identify, evaluate, and communicate the criteria or program expectations for an engagement activity or partnership. The next section provides a recommended framework for developing and managing engagement activities at an institution of higher education—particularly public, land-grant universities.

Step one: Identify program expectations. It is suggested that the first step in developing a strategic approach to engagement management is to establish a process of identifying the criteria for each of the four elements of engagement management. Table 2 provides a framework or template that those involved with engagement activities may use to guide them through the process of identifying these criteria.

Table 2

Identifying the criteria for the four elements of engagement management.

IDENTIFY	
ELEMENT	CRITERIA
PHILOSOPHICAL IDEALS	<p>Independent Values</p> <ul style="list-style-type: none"> • Mission of the university • Core values of the university <p>Immanent Values</p> <ul style="list-style-type: none"> • Personal or idiosyncratic values
INTERNAL AND EXTERNAL INFLUENCES	<p>Internal Influences</p> <ul style="list-style-type: none"> • Scholarship • Promotion and tenure

	<ul style="list-style-type: none"> • Social capital • Resource capital <p>External Influences</p> <ul style="list-style-type: none"> • Social capital • Resource capital
COSTS AND BENEFITS	<ul style="list-style-type: none"> • Alignment with strategic imperatives • Pertinent social issues • Affected external audience • Impact on external audience • Research methods • Internal partners • Personnel time • Non-university partners • Duration of partnership • Scholarship opportunities • External funding • In-kind funding • Intellectual property • Evaluation process
PROGRAM ALTERNATIVES	<ul style="list-style-type: none"> • Alternative partners • Alternative approach to problem or issue • Alternative approach to scholarship

	<ul style="list-style-type: none"> • Level of risk • Sustainability
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Using the template in Table 2, staff should begin by identifying the philosophical ideals (independent and immanent values) of the institution, academic unit, and individuals followed by the criteria for the three other elements in succession—internal and external influences, costs and benefits, and program alternatives. The list of criteria provided in the template are those items that were identified and are considered at MSU and therefore may not be a comprehensive list for all institutions. However, many of these criteria are universal to multiple academic settings from community colleges to public colleges and universities. In any case, each academic institution must customize the criteria to best fit the mission, vision, and values of the individual institution. Finally, once all criteria are identified for each of the four elements, each engagement activity or partnership should be evaluated for its alignment with the identified criteria.

Step two: Evaluate program expectations. Once the criteria for each element are identified, a process should be established to evaluate the criteria using the template in Table 3 as a guide. These criteria can also be used to establish engagement activity benchmarks and outcomes.

Table 3

Evaluating the criteria for the four elements of engagement management.

EVALUATE	
ELEMENT	CRITERIA

<p>PHILOSOPHICAL IDEALS</p>	<ol style="list-style-type: none"> 1. Will the engagement activity support the core values and imperatives of the university's strategic framework? If so, in what ways? 2. Will the engagement activity support the mission of department or unit? If so, in what ways? 3. Will the engagement activity increase scholarship—the generation, transmission, application, and preservation of knowledge? If so, in what ways? 4. Will the engagement activity support the reputation and/or prestige of the institution? If so, in what ways?
<p>INTERNAL AND EXTERNAL INFLUENCES</p>	<ol style="list-style-type: none"> 1. Will the engagement activity support the core values and imperatives of the <i>university's</i> strategic framework? If so, in what ways? 2. Will the engagement activity support the mission of department or unit? If so, in what ways? 3. Will the engagement activity increase scholarship—the generation, transmission, application, and preservation of knowledge? If so, in what ways? 4. Will the engagement activity support the reputation and/or prestige of the institution? If so, in what ways?
<p>COSTS AND BENEFITS</p>	<ol style="list-style-type: none"> 1. What is the specific purpose of the engagement activity? 2. Will the engagement align with the university's strategic

	<p>imperatives? If so, which imperatives?</p> <p>3. Will the engagement activity address societal issues? If so, what issues?</p> <p>4. Will the engagement activity impact an external audience? If so, in what way?</p> <p>5. What scientific or research methods will be used?</p> <p>6. Will the engagement activity require involvement of internal partners, units, and/or students? If so, who?</p> <p>7. How much personnel time will the engagement activity require?</p> <p>8. Who will be the non-university partners and participants?</p> <p>9. What is the anticipated duration of the engagement activity?</p> <p>10. Will the engagement activity produce scholarship? If so, in what way?</p> <p>11. Will external funding be available for this engagement activity? If so, how much and from where?</p> <p>12. Will the non-university partner(s) provide in-kind support? If so, in what form and how much?</p> <p>13. Will the engagement activity produce intellectual property? If so, what type?</p> <p>14. Will the engagement activity be evaluated? If so, how?</p>
PROGRAM	<p>1. Are there alternative partners who would be more committed</p>

ALTERNATIVES	<p>to the engagement activity? If so, who?</p> <p>2. Is there an alternative way to approach the issue or problem? If so, how?</p> <p>3. Is there an alternative approach to the scholarship? If so, in how?</p> <p>4. Is there an alternative approach to the engagement activity that would reduce the risk? If so, how?</p> <p>5. Will the engagement activity be sustainable if the partnership disbands? If so, how?</p>
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It is important to discuss and convert each identified criteria to a subjective inquiry. For example, one of the criteria that MSU staff identified under the element of costs and benefits is the opportunity for scholarship. In the form of a question, that criteria may state, “Will the engagement activity produce scholarship? If so, in what way?” The answer may be “yes” and the scholarship may be a planned published paper or a seminar or workshop. Once all criteria are identified and evaluated, they should be communicated clearly to all partners.

Step three: Communicate program expectations. Communication is an essential element of any successful partnership. Once all criteria are evaluated, each criteria should be communicated with all partners involved in the engagement activity. Table 4 provides a template to aid in communicating engagement program expectations.

Table 4

Communicating the criteria for the four elements of engagement management.

COMMUNICATE	
ELEMENT	CRITERIA
PHILOSOPHICAL IDEALS	<ol style="list-style-type: none"> 1. Activity's support of university's values and strategic mission. 2. Activity's support of unit's mission. 3. Activity's support of scholarship. 4. Activity's support of university's reputation and prestige.
INTERNAL AND EXTERNAL INFLUENCES	<ol style="list-style-type: none"> 1. Opportunities for scholarship. 2. Effects of the engagement activity on promotion and tenure. 3. Effects of the engagement activity on the university's social capital. 4. Effects of the engagement activity on the university's resource capital.
COSTS AND BENEFITS	<ol style="list-style-type: none"> 1. Activity's alignment with university's strategic imperatives. 2. Societal issues addressed. 3. Impact on external audience. 4. Type of scholarship produced. 5. Scientific or research methods to be used. 6. Involvement of internal partners, units, and/or students. 7. Amount of personnel time required. 8. Non-university partners and participants. 9. Duration of the engagement activity.

	10. External funding. 11. In-kind funding. 12. Intellectual property. 13. Evaluation of the engagement activity.
PROGRAM ALTERNATIVES	1. Opportunities for scholarship. 2. Effects of the engagement activity on promotion and tenure. 3. Effects of the engagement activity on the university's social capital. 4. Effects of the engagement activity on the university's resource capital.

Communication helps to open the dialog between partners and clarify objectives and outcomes. Communicating these criteria can also provide a basis for benchmarking and evaluating the success of the engagement or partnering activity. Using the example of the criteria of potential scholarship, university staff may communicate early in the engagement activity its intent to produce some sort of identified scholarship whether it be a published scholarly article, seminar, or other scholarly pursuit. The completion of this scholarship by a selected date may be a way of benchmarking and evaluating the success of the partnership.

Identifying, evaluating, and communicating engagement criteria is a subjective process requiring the participants to continually re-assess the criteria over the duration of the engagement activity. Furthermore, some criteria may overlap with other elements. What may be considered an internal or external influence may also be a cost or benefit to

the university. For example, the availability of a large donation of external funding may be considered an external influence, but could also be considered a benefit.

Subsequently, the potential of negative political ramifications for accepting these donations from certain individuals, groups, or organizations may also be considered an external influence as well as a benefit or cost to the institution. Finally, program alternatives may apply to more than whether or not to engage with an external entity. Program alternatives should be considered for the specific criteria for the partnership. For example, program alternatives may be considered for different ways of funding, staffing, or resourcing the partnership.

One theme that persisted throughout conversations with MSU participants was the fact that trust and the process of building trust was a large factor in developing partnerships. Trust is built through communications and actions. It is important to continually communicate and remind the participants of the criteria that are being used to manage the partnership. It is vital for all participants to understand the influences, costs and benefits, alternatives, and philosophical priorities of each participant in an engagement activity. Conversations between partners should be facilitated to discuss most if not all of the identified criteria and about the process of engagement management.

Many of the principles, processes, and criteria may be applied in other higher education settings. Although the criteria for the four elements will vary from institution to institution, the same template may be used to assist engagement staff to build and nurture partnerships and engagement activities. The following sections will explore the application of engagement management to community colleges, private, nonprofit, and for profit colleges and universities, and public universities.

Engagement management and community colleges. A primary role of the community college has always been to serve the needs of the local community (President's Commission on Higher Education, 1947; Vaughn, 2006). On the other hand, community colleges generally do not have elaborate research efforts or facilities. Scholarship, the generation, transmission, application, and preservation of knowledge for the direct benefit of external audiences, is usually low on the promotion and tenure requirements. However, community colleges thrive on their relationship with their community. There are many ongoing and emerging engagement activities between the community college and the communities it serves at any one time. These activities range from individual grass roots partnerships to college-wide/community partnerships that address local economic and social issues. Although the some criteria will vary for each element, by following a process of identifying, evaluating, and communicating these criteria should help to guide the development of relationships and trust between partners in an emerging engagement activity.

Engagement management and private, nonprofit, and for profit colleges and universities. Private, nonprofit, and for profit colleges and universities have traditionally maintained a cordial and professional relationship with its local communities (Bok, 1986). Albeit, the application of research and development partnerships continue to increase as these institutions expand and diversify their scholarship activities. Engagement management principles may aid in developing and establishing research and scholarship relations. Many of these criteria within each element may be used to help generate and clarify documents such as memorandums of agreement for formal partnerships. Strategic partnerships are also established between private, nonprofit, and

for profit institutions and communities to increase student recruitment and social capital. Applying these processes of engagement management may assist in the planning and development of strategic initiatives for engagement activities or partnerships.

Engagement management and public universities. Similar to the Michigan State University, public institutions have an innate responsibility to serve their local, national, international, and professional communities. Many of these public institutions have flourishing and sophisticated research and scholarship agendas. Furthermore, similar to community colleges and private institutions, the acquisition of social and resource capital as well as student recruitment is a driving influence on the operation of the institution. While conducting the initial research into outreach and engagement at public land-grant universities, I examined and contrasted numerous public universities throughout the U.S. All had outreach and engagement organizations at various stages of maturity and sophistication. Applying the principles and processes of engagement management to some of the operational policies and practice may assist in the strategic advancement of the organization as well as the planning and management of its ongoing engagement activities.

Observations and Discussion

The engagement management framework was established based on some common assumptions that apply to rational choice and social exchange theories and affect the relationship building process between individuals or groups. These common assumptions are:

1. Actors are motivated by self-interest (utilitarianism).
2. One can predict and understand by understanding an individual's motivation.

3. Social structure, group phenomenon, and normative culture are constructed by the values and actions of individuals.
4. Actors are rational.
5. Actors weigh the costs and benefits or rewards of a decision or choice.

The actors at MSU (UOE staff) are motivated by self-interest as indicated by the types of internal and external motivators, incentives, and benefits that are identified during the research. These self-interests are in the form of an engagement activity's ability to affect an individual's financial status (promotion and tenure), academic interests (scholarship), organizational interests (additional positive resources, prestige, reputation, and visibility for the university or department), and personal values (social justice, cultural arts, etc.). Once identified and evaluated, clearly communicating the criteria that fall under the four elements of engagement management allows each participant in a partnership to better understand the motivators and better predict and manage the outcomes of a partnership. All MSU interviewees expressed strong, rational institutional (independent) and personal (immanent) values toward scholarship, social justice, and maintaining a positive reputation and prestige for the university. Although mostly individual, informal, and cognitive, the staff at MSU closely examine the costs and benefits of each engagement activity. Furthermore, in one form or another, they more often discuss these costs and benefits, as well as internal and external incentives and disincentives, with their colleagues. These discussions and evaluation of costs and benefits affect the decisions they make toward moving forward with an engagement activity. They also affect their decisions to examine program alternatives in the form of new partners, processes, and criteria to name a few.

Michigan State University's Office of the Associate Provost for University Outreach and Engagement has progressively been on the vanguard of engagement scholarship. Its OEMI database allows UOE to measure the effectiveness, costs and benefits, and breadth of engagement activities at MSU and its surrounding communities. A well-coordinated strategic plan for engagement management can be helpful in legitimizing the efforts of an engagement organization as well as aligning priorities and building critical relations with potential external partners. Nonetheless, there are several questions that remain to be examined.

Is MSU's embracing and growth of university engagement with internal and external communities a form of academic capitalism? The primary intent of this research was to examine the *criteria* and *processes* that MSU staff use to build program expectations for engagement activities with external, not necessarily the *intent* behind these criteria and processes. However, to a great degree intent does play a role in determining these criteria and processes. One could ask the question whether MSU's engagement history has been an evolution, a revolution, or perhaps a form of academic capitalism? Slaughter and Rhoades (2004) describe academic capitalism as a process that higher education institutions are integrating as they adjust to today's new economy based on global knowledge and an information society. Slaughter and Rhoades (2014) suggest that American universities are transforming from what they call a "public good knowledge regime" to an "academic capitalist knowledge regime" (p.28).

The theory of academic capitalism sees groups of actors—faculty, students, administrators, and academic professionals—as using a variety of state resources to create new circuits of knowledge that link higher education institutions to the new economy. These actors also use state resources to enable interstitial

organizations to emerge that bring the corporate sector inside the university. . . .
(p. 1)

Slaughter and Rhoades (2004) also contend academic capitalism is permeated throughout higher education institutions and that market-like activities are not restricted to engineering and sciences. Kauppinen (2012) describes the globalization of higher education through the transnationalization of academic capitalism.

One could surmise that MSU's embracing of university outreach and engagement has been a form of encouraging academic capitalism. MSU interviewees certainly talked about engagement activities leading to scholarship (the generation, transmission, application, and preservation of knowledge), grants, and additional resources to the institution. On several occasions, MSU interviewees expressed a strong pursuit of knowledge and experience from communities outside the university. *Points of Distinction: A Guidebook for Planning and Evaluating Quality Outreach* can be considered a guidebook for planning and evaluating academic capitalism. Furthermore, the annual OEMI survey can be viewed as a way to measure academic capitalism within MSU. With the publishing of *Embracing the World Grant Ideal: Affirming the Morrill Act for a Twenty-First-Century Global Society*, MSU appears to advance its academic capitalism to an international level.

One of the primary functions of the Office of University Outreach and Engagement is to work with and enable partnerships between MSU and its external communities. That is not to say that all units within MSU are not encouraged to engage with external communities to advance the mission of the university—or advance academic capitalism for the institution. Whether it be to advance the scholarship of

engagement, encourage engagement scholarship, or promote academic capitalism, Michigan State University's UOE provides guidance, training, and support for its activities with communities external and internal to the university.

Can a well-coordinated university engagement program bolster the reputation, prestige, and visibility of a university? Unarguably, the methods and philosophy that UOE staff use to approach engagement scholarship bolster the prestige and reputation of UOE; then again, MSU's adaptation and endorsement of engagement and the scholarship of engagement into the mission of the institution has also strengthened the reputation and prestige of the university. Fitzgerald (2010) describes MSU as an engaged university championing the generation, transmission, application, and preservation of knowledge. These philosophies were initially influenced by Ernest Boyer's (1990) definition of scholarship, and refined by the Provost's 1993 Committee on University Outreach. MSU's definition of community engagement scholarship broadens the definition of *community* beyond demographics, or socio-economic status. MSU's definition of community includes geography, identity, affiliation of interest, circumstances, profession or practice, faith, and kinship (Fitzgerald, 2010). Fitzgerald (2010) defines MSU's approach to engagement as:

A partnership of university knowledge and resources with those of public and private sectors to: enrich scholarship and research, enhance curricular content and process, prepare citizen scholars, endorse democratic values and civic responsibility, address critical societal issues, and contribute to the public good.

UOE continues to conduct scholarly research on engagement, publish and teach programs about engagement and community engagement scholarship, and apply engagement strategies in its partnerships with external entities. These measures provide academic

legitimacy and validity to UOE staff throughout its professional communities internal and external to the university.

As a public land-grant university, MSU's overall endorsement of university-wide engagement with its "communities" provides a positive and cooperative reputation with its constituents. MSU prides itself on its connection with its professional and geographical communities and these engaged connections promote and advance the reputation and prestige of the university.

Does it make sense to centralize, structure, and/or establish procedures/policies for engagement? Or, should staff be more aware of these elements and incorporate them into a loosely coupled organization? Institutional theory is known by a number of alternative names including institutionalism, neo-institutionalism, and old or new institutional theory, depending on the era. In the past thirty years, there has been an evolution from what was called *old* institutionalism to *new* institutionalism (Immergut, 1988; Meyer, 2007; Selznick, 1996).

It considers the processes by which structures, including schemas, rules, norms, and routines, become established as authoritative guidelines for social behavior. It inquires into how these elements are created, diffused, adopted, and adapted over space and time; and how they fall into decline and disuse. (Brigham Young University, 2012, "Concise Description of Theory," para. 1)

Peters (1997) surmises that, when applying an institutional theory approach to partnerships, there are "structural and organizational aspects of social life that can shape behavior and have as much or more influence over decisions as do the properties of individual decision-makers" (p. 15). The mere act of forming a partnership constitutes the establishment of an institution or the institutionalization of a collective action by actors. Rules are agreed upon and

a certain number of shared values among the participants, as well as some common policy goals so that they are symbolic as well as utilitarian components of the relationship. These symbolic elements are important for perpetuating arrangements even when the tangible rewards are limited (Peters, 1997, p. 15).

Shared values are the aspects that define the institution and create logic within the institution. “For the members of the institution there is a common understanding about what should be done by that institution and what actions would tend to fall outside their common value framework” (Peters, 1997, p. 16).

UOE has institutionalized the scholarship of engagement at MSU. However, should engagement management practices be more institutionalized throughout UOE? Some would argue that just by the fact that a researcher was present to interview and examine these practices UOE staff may begin to think about engagement management and perhaps begin to document their processes and criteria.

It’s done informally in our head. Of course that’s going to change because of your questions. There is the observer effect. . . . There might be a consequence of your questions that get people to think in a more detailed manner about how they do make decision, how they go about initiating partnerships. (MSU Interviewee)

Whether these processes and elements are adapted by the individual, unit, or organization, being aware of engagement management elements and criteria will not cause detriment to the organization as it continues to manage its engagement activities and scholarship. Awareness of these criteria can be a benefit to UOE staff whereas it can assist in providing a focused and clear understanding of partnership objectives and

outcomes, reduce misunderstandings and miscommunications between partners, and provide benchmarks for successful engagement activities.

The decision to adopt and perhaps institutionalize some or all of the engagement management processes into an organization depends on the maturity and sophistication of the engagement organization. Larger, more established organizations may consider testing most of these templates and criteria against their own organization. Smaller, less established engagement organizations may consider adopting parts of the criteria identified in the templates. Not all of the criteria may apply to smaller institutions that do not have a comprehensive research sector.

Will decentralizing the UOE budgets require unit-level managers to better quantify activities and new engagements? Would engagement management awareness help to better quantify outcomes/expectations? Within the past year, UOE's budget has been decentralized to the unit level directors. One of the caveats is that unit directors will need to be more descriptive and definitive in their project and budget requests. Justifying new engagement activities may require unit directors to identify and qualify many of the criteria within each of the four elements. The OEMI database tool can certainly be used to quantify some of the outcomes of a particular engagement activity, but these statistics are compiled after a partnership or engagement activity has been established. By using the engagement management templates as a guide, project managers can take a more comprehensive approach to estimating and managing the expectations of a partnership or engagement activity.

Does the framework make sense? Should it be modified? How would one modify it? The engagement management framework worked well in incorporating the criteria

and processes that UOE staff use to identify, evaluate, and communicate program expectations for engagement activities with entities external to the academy. It allows one to think logically with regard to strategically establishing partnerships. One thought would be to perhaps prioritize the four elements of engagement management—philosophical ideals, internal and external influences, costs and benefits, and program alternatives—into a pyramid shape with philosophical ideals as the highest priority followed by the others in succession and program alternatives as the least influential. The reasoning is that conflicting philosophical ideals would be a “game changer” when establishing partnerships. Influences, costs and benefits, and program alternatives certainly are important elements; however, they can be negotiated and managed between partners. In most cases, there is usually very little budging or negotiating of philosophical ideals. If the philosophical ideals do not align, partnerships will not succeed. Adding more priority or emphasis on certain elements may be considered when adopting some of the principles of the engagement management framework.

Should one communicate all criteria to partners? This question addresses the individual bargaining and partnership negotiation strategy of the university or college. There may be certain criteria that are sensitive and university staff may be hesitant to share these criteria with potential partners. For example, specific budgetary or resource requirements that may be proprietary to the institution (e.g., faculty salaries, overhead costs, etc.). In this instance, many of these criteria can be expressed and communicated in more general terms. Awareness that certain resources will need to be accessed or utilized for the partnership to succeed does not require the institution to divulge the specific cost of that resource. Nevertheless, it is very important for the university to have

a clear understanding of the financial and resource costs of an engagement activity. Each institution should be intimately aware of the elements and criteria of engagement management for each engagement activity. How and what they communicate to their partners is determined by the institution and the type of partnership or engagement activity they are pursuing.

There continue to be many questions with regard to the various processes and criteria that engagement staff use to identify, evaluate, and communicate program expectations for engagement activities. These questions can only be answered with future research that delves deeper into these inquiries. The next section provides suggestions for future research on the scholarship of engagement management.

Suggestions for Future Research

One can only predict how these processes, elements, and criteria of engagement management may apply to different higher education environments. Following an investigative research path, one may ask numerous hypothetical and research-related questions about the scholarship of engagement management. This case study examined one higher education institution. Could these processes and criteria be examined from an applied university perspective and setting? Do these, or similar processes and criteria apply in other higher education settings? Could these same processes be applied with external entities? Data from such research could answer questions and expand our knowledge about how university staff, as well as external entities, identify and prioritize the criteria that influence their decisions about partnerships, and to further quantify the costs and benefits of engagement activities.

Criteria and processes will differ from one higher education institution to another. Comparative case studies could be conducted to examine the processes and criteria that different colleges and universities use to manage their engagement activities. How are the criteria similar and how are they different? Are there other elements that should be incorporated into this model? Do different types of higher education institutions prioritize the elements and criteria differently?

One of the questions that surfaced during this research is: What does the average external participant understand about the fundamental mission of a research university—scholarship specifically with respect to UOE: engaged scholarship. How well is that communicated in the discussions with external partners? Engaged scholarship is clearly presented and defined in most of the presentations and documents that were reviewed in this study; however, it would be interesting to survey external partners regarding their knowledge of scholarship, especially engaged scholarship. At times, the loosely coupled environment of a university campus can be unfamiliar and bewildering to an outsider. Influences and priorities can be misinterpreted and misjudged. Would applying the processes identified in this study help external entities to better understand the mission of the university?

Closing Reflection

Engagement management, or the management of program or partnership expectations, is a subjective process requiring the participants to reflect inward and outward to identify many criteria that can assist them in a collaborative decision-making process, the nurturing and establishment of intricate relations, and the evaluation of the success of a partnership. This study examined one public, land-grant institution

(Michigan State University) and the criteria and process used by staff to identify, evaluate, and communicate program expectations for engagement activities or partnerships. I established a foundational framework based on concepts derived from a combination of common themes from rational choice theory and social exchange theory. These themes fell into four primary elements: philosophical ideals, internal and external influences, costs and benefits, and program alternatives. Interviews with MSU staff explored the processes and criteria used to identify, evaluate, and communicate each element of the framework.

Michigan State University represents one university out of thousands that exist throughout the world. Regardless, over the 30 years it has built much of its reputation and prestige on how it engages with its communities and executes its mission of scholarship. Many lessons can be gleaned from how MSU manages its engagement activities. Some of these processes are well documented and engrained into the culture of the university—*Boldness by Design*, *The World Grant Ideal*, etc. Other processes are informal, individual, intuitive, and cerebral—influences, costs and benefits, and program alternatives. The intent of this research was to capture those tangible and intangible processes and criteria and assemble them into a logical framework that can be used as a guide to develop and manage engagement activities at other institutions of higher education. The templates compiled in Appendix M allow users progress through a thought process to identify, evaluate, and communicate specific criteria for engagement activities, as well as customize criteria to their specific partnership endeavor.

Where is the course of engagement scholarship, engagement management, and expectation management heading in the future? Hollister (2014) speculates that the future of the engaged university movement can yield a world of inspiring change.

Hundreds of institutions of higher education in all nations are deeply involved in their communities, partnering with government agencies and NGOs to build civil society, and promote social and economic development.

Students have become the most powerful organizers and communicators in the engaged university movement—using the full power of the internet to disseminate effective strategies, broadcast successes, and analyze the inevitable disappointments. An international network of graduate students of business is performing R&D for the microfinance movement. University students doing social change work have become a virtual global community of active citizens.

In local communities, the visible impacts of engaged universities have dramatically boosted public support for higher education, building a shared sense that universities are a smart investment. Even and perhaps especially in struggling nations, civic engagement has built a new rationale for public, foundation, and development agency funding of universities.

Brokering community partnerships is a greater part of the portfolio and skill set of university leaders. Many exemplify civic engagement in their personal lives. Universities increasingly are good institutional citizens, modeling active citizenship in their institutional policies and practices. They demonstrate social responsibility in how they compensate and treat their lowest paid employees. They purchase materials and supplies so as to maximize local community development. They practice environmental sustainability in their buildings and energy use.

In universities around the world, institutional reward systems support excellence in civic engagement, not as a separate category, but as a route to stronger teaching and research. The standards of excellence applied to civic engagement activities are as rigorous as those applied to any other field.

Civic engagement and social responsibility are no longer relegated to separate “centers of public service”; they are woven into the ethos and programs of the university as a whole. (Hollister, 2014)

Some speculate that most higher education institutions are already pursuing scholarly engagement activities with external entities instinctively and in some cases deliberately.

I think this whole movement across the country on service learning and civic engagement is going to be very powerful. Even in those institutions that would not dare use the word engagement because they are research universities. There are some of those institutions, for example, who have some leading faculty scholars in the area of engagement, so they know what it's all about, they just choose to use different words, like X or Y. Some of their institutions are doing cutting-edge work on how poverty affects children, but they don't do engagement.

That's fine, that's OK, they don't have to have the jargon. (MSU Interviewee)

One interviewee spoke of a transformation in higher education where the gap between the knowledge generated by higher education and the knowledge generated by external entities converge.

Some people argue the third transformational change in higher education is to bring the knowledge of the community and the knowledge of higher education to teach together, really in discovery knowledge, just like [Ernest] Boyer was talking about. But discovery knowledge where you're really recognizing that there are a lot of really smart people out in the real world, or at least off the campus world, who know a lot about what's happening on the ground. How to build those things together in ways that we begin to produce the kinds of students that these various people need and everything. (MSU Interviewee)

The implementation and management of university engagement activities requires having a strategic and logical process of understanding the criteria that are used and considered when committing to an engagement activity or partnership with an entity external to the academy.

They're beginning to understand that there are a whole lot of kids. . . who are not turned on to being part of the 21st century because of the power of their schools, the aspiration of goals set for them, maybe in their families or whatever. We've got to be part of that change process or we're going to be doomed by it. I think we're getting that. That's going to be at least a generation of work to get everything moved into a new direction. So it really could be a transformational change, I don't know. People are discovering that they could do this without sacrificing quality. It's taking the stuff that we know, the good methodologies that we have out into the community to get good answers for people so they can make better decisions about what they are doing and we get better at asking the right questions because we are listening to them. Who knows. It will be interesting to watch as long as I'm still kicking around. . . . (MSU Interviewee)

Since its founding in 1855, Michigan State University, in one way or another, has been reaching out to its communities to foster engaged scholarship. MSU's evolution of outreach and engagement began with the Michigan Agricultural College in the late 1800s, expanded with the WKAR Radio in the 1920s, and flourished in the 1940s with the help of a large grant from the W. K. Kellogg Foundation. After morphing through at least two organizational transitions (Continuing Education Services to Lifelong Education Programs and Cooperative Extension Services), by 1989 the office on University Outreach (and Engagement) was established. In 1993, the Provost's Committee on University Outreach redefined outreach and engagement and solidified MSU's commitment to engaged scholarship with its many professional, social, economic, demographic, and personal communities. This report provided seven strategic general

recommendations to assure that outreach and engagement were supported and rewarded as a major function at MSU.

1. Adopt the new conception and definition of outreach.
2. Create a measurement and evaluation system to track, assess, and adjust the amount of outreach.
3. Involve multiple parties in a dynamic process of outreach planning, but place primary responsibility at the unit level.
4. Reward units and faculty appropriately for engaging in outreach.
5. Stimulate, support, and recognize outreach at all levels of the University.
6. Enhance access to the university's knowledge resources.
7. Strengthen outreach through university-wide leadership. (Michigan State University Board of Trustees, 1993, p. 13)

These seven general recommendations were further delineated into 20 more specific recommendations involving students, faculty, incentives, accountability, and leadership.

Michigan State University's publishing and articulation of a *World Grant Ideal* defined a shift in traditional roles and challenges for land-grant universities in the 21st century. "The world grant ideal provides a way of understanding how a research-intensive university can adapt to meeting the needs of a changing world while continuing to shape the changes that will be hallmarks of the future" (Fitzgerald & Simon, 2010. p. 34). MSU's UOE continues to generate, transmit, apply, and preserve knowledge "for the direct benefit of external audiences through a scholarly model of outreach and engagement that fosters a reciprocal and mutually beneficial relationship between the university and the public" (Fitzgerald and Simon, 2012, p. 50). "The ways to connect

with MSU are virtually unlimited. From transferable technology to arts and culture to a vast Spartan alumni network, MSU partnerships and outreach make a real difference” (Michigan State University, 2014k). MSU’s OUE remains at the forefront of the scholarship of engagement. This is primarily due to the clear and decisive commitment of the leadership at MSU and their continual and relentless pursuit of scholarly engagement opportunities. The role of engagement continues to expand and embed itself into the structure and constitution of Michigan State University.

Great things happen when people come together to engage and collaborate. Collaboration and engagement created the *Linux* computer operating system developed under the model of free and open source software development and distribution, and *Wikipedia*, a free and continuously growing online encyclopedia. Engagement, in many ways is a subjective process that is often managed with finesse, instincts, and diplomacy. Engagement between a university and its many communities can be beneficial and rewarding for all involved parties. Although many of the criteria and processes used in engagement management at MSU are informal and undocumented, there are similar themes and approaches that were identified during this case study.

This case study examined the criteria and processes that staff at MSU’s UOE staff use to identify, evaluate, and communicate its program expectations that support its engagement activities or partnerships with external entities. The engagement management framework was modeled after collective concepts from rational choice and social exchange theories. The engagement management framework allowed me to create and administer appropriate inquiries in the form of interview questions and data collection. The engagement management framework also allowed me to compile,

categorize, and analyze the collected data within four elements—philosophical ideals, internal and external influences, costs and benefits, and program alternatives. The data gleaned from this research provides a recommended template (Attachment M) for higher education staff to use to strategically and systematically manage program expectations for partnerships and engagement activities with its internal and external entities.

However, the recommended model developed in this research is a view, perspective, and a starting point for those higher education staff planning to strategically approach the process of engagement management while establishing partnerships with external entities. It is a place to begin reflecting on specific criteria, processes, and approaches to managing engagement activities—adding some objectivity to the very subjective process of engagement management or developing strategic partnerships. As higher education institutions continue to increase and integrate their engagement activities locally, nationally, and internationally, a well-coordinated engagement management strategy will assist in creating a well thought-out structure for managing program expectations, benchmarking, and evaluating the success and outcomes for engagement activities and partnerships between higher education institutions and entities external to the academy.

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Personal Communications

Fitzgerald, Hiram E. Associate Provost, Michigan State University, University Outreach and Engagement. October 1, 2013.

Gianneschi, Matt. Senior Policy Analyst, Policy and Initiatives, State of Colorado. October 15, 2007. Denver, CO.

Greenberg, David. Vice Chancellor for Institutional Partnerships, University of Denver. January 16, 2012. Denver, CO.

Heath, Rollie. Senator, State of Colorado. January 22, 2012. Denver, CO.

Jordan, Stephen M. President, Metropolitan State College of Denver. September 27, 2007. Auraria, CO.

Lambert, Hunt. Associate Provost, Colorado State University. January 29, 2012. Ft. Collins, CO.

M., former Primary Administrator, University of Denver, Morgridge College of Education. April 29, 2011. Denver, CO.

McKeever, Matthew. Dean, Community and Workforce Partnerships, Arapahoe Community College. December 23, 2011. Littleton, CO.

Stanford, Gully. Director of Partnerships, College in Colorado. January 14, 2012. Denver, CO.

Appendix A

Initial Inquiry Letter

Dear _____,

I am writing to request your organization's participation in a study examining the criteria and processes outreach and engagement staff use to identify, evaluate, and communicate program expectations for planned engagement activities or potential partnerships with external entities. This study will support dissertation research I am conducting at the University of Denver, Morgridge College of Education. My research is being overseen by Dr. Cheryl D. Lovell, doctoral advisor.

With your consent, I would like to contact you via telephone within the next week to discuss my research efforts in more detail, and the possibility of visiting your campus during the fall of 2013 to conduct interviews and gather further documentation.

At this stage I am finalizing my dissertation proposal and plan to present it to my dissertation committee within the next two months. My primary and secondary research questions are as follows:

Primary research questions:

1. What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
2. What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

Many thanks in advance for your time and support.

Sincerely,

Frederick E. Powers
Doctoral Candidate
University of Denver, Morgridge College of Education

Appendix B

Interview Request Letter

Dear _____,

I am writing to request an interview with you regarding your thoughts about criteria and processes your outreach and engagement staff use to identify, evaluate, and communicate program expectations for planned engagement activities or potential partnerships with external entities. This interview would support dissertation research I am conducting at the University of Denver, Morgridge College of Education. My research is being overseen by Dr. Cheryl D. Lovell, doctoral advisor, and the procedures for the study have been approved by the University of Denver's Institutional Review Board.

Primary research questions:

3. What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
4. What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

I am scheduled to be at your campus during the week of _____. I would like to contact you via telephone within the next week to schedule an initial 90-minute interview at your convenience and location. With your permission, if possible, I would also like to record our interviews for accurate transcription and inclusion in my case study research report. Participants will not be identified in any reports or discussions. I will request that you complete a consent form that promises confidentiality.

For your information, I have attached a list of questions that I would like to ask during the interview and an Informed Consent Form. Many thanks in advance for your time and support.

Sincerely,

Frederick E. Powers

Doctoral Candidate
University of Denver, Morgridge College of Education

Appendix C

Interview Questions

I would like to begin by asking a few questions that provide me with a perspective regarding how your outreach and engagement organization strategically plans and initiates its engagement activities. First, . . .

1. What *criteria* does your outreach and engagement organization use to determine its the mission and priorities?
2. What *criteria* does your organization use to plan its outreach and engagement program strategy?
3. What *criteria* does your organization use to identify potential engagement or partnering opportunities with external entities?
4. What *criteria* does your organization use to identify potential external partners for its outreach and engagement activities?
5. Describe the *process* your organization uses to initiate and build relationship with potential external partners?

The next set of questions will help me to better understand how your organization establishes its social and philosophical ideals.

6. What *criteria* does your organization use to identify and determine its organizational values?
 - a. Describe the *process* your organization uses to collect and compile this information or data?
7. What *criteria* does your organization use to align its outreach and engagement activities with the mission and priorities of the institution?
 - a. Describe the *process* your organization uses to collect and compile this information or data?

The next set of questions will help me to better understand how your organization identifies the influences, internal and external to the academy, that motivate partnerships between a higher education institution and an entity external to the academy.

8. Describe the *process* your organization uses to identify and evaluate *internal* incentives and disincentives to a potential engagement or partnership endeavor?

- a. What are some of those internal incentives?
 - b. What are some of those disincentives?
9. Describe the *process* your organization uses to identify and evaluate *external* incentives and disincentives to a potential engagement or partnership endeavor?
- a. What are some of those external incentives?
 - b. What are some of those external disincentives?

The next set of questions will help to inform me how your organization identifies and evaluates the potential costs, benefits, and alternatives of partnerships with an external entity.

10. What *criteria* does your organization use to identify and evaluate the anticipated costs and benefits of a potential engagement or partnership endeavor?
11. Describe the *process* that your organization uses to identify and evaluate the anticipated costs and benefits of a potential engagement or partnership endeavor?
12. Describe the *process* your organization uses to identify and evaluate alternative options for potential university engagement or partnering opportunities?

For the purpose of this study, program expectations are defined as a set of pre-established criteria that are used to determine anticipated outcomes, measure the success of an engagement activity, and to drive individuals' actions and decisions. The next set of questions are fashioned to provide me with information regarding how your organization identifies and evaluates its program expectations (sometimes referred to as anticipated outcomes) to support engagement activities with entities external to the academy.

13. What *criteria* does your organization use to identify program expectations for a potential partnership or engagement activity?
14. Describe the *process* your organization uses to identify its program expectations for potential engagement activities?
15. Describe the *process* your organization uses evaluate the specific elements of the program expectations?

The next set of questions are fashioned to provide me with information regarding other sources of data that I can gather to help me to better understand program engagement management during university engagement activities at your institution.

16. Are there any *documents* that I can review that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?
17. Are there any *events* that I could attend that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?
18. Are there any other *individuals or groups* who you could recommend that might be able to provide another perspective as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?

Wrap up. . . .

19. Would you like to add any other comments before we close?

Thank you for taking the time to help me with my research.

Appendix D

Informed Consent

You are invited to participate in a research project examining *the criteria and processes used to identify, evaluate, and communicate program expectations for university partnerships*. The purpose of this study is to gain a better understanding of (a) how higher education institutions systematically approach the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.). Your participation is completely voluntary, but it is very important.

During my research, I will conduct a series of interviews, observe meetings as available, and review pertinent documents associated with the program I am studying. You may choose not to participate in the study and are free to withdraw from the study at any time. Refusal to participate or withdrawal from participation involves no penalty.

As the researcher, I will, however, treat all information gathered for this study as confidential. This means that only I and my doctoral program advisor, Dr. Cheryl D. Lovell, will have access to the information you provide. In addition, when I report information, it will be reported for the entire group of research participants, never for any one individual. You will be provided an opportunity to review, comment on, and/or correct any transcriptions made of their particular interview—whether word-for-word if recorded, or a synopsis of the discussion if you are not comfortable with me recording the interview.

There are two exceptions to the promise of confidentiality. Any information you reveal concerning suicide, homicide, or child abuse and neglect is required by law to be reported to the proper authorities. In addition, should any information contained in this study be the subject of a court order, the University of Denver might not be able to avoid compliance with the order or subpoena.

The benefits of being involved in this study include gaining a better understanding of how university outreach and engagement organizations apply strategic approaches to program engagement management during the development of partnerships with entities external to the academy. You may also enjoy the ability to provide information about your own experiences. If you would like a copy of the results of the study, I will be happy to provide one for you. Potential risks of being involved in any study include the possibility that discussing certain issues about your experience may be upsetting. If this occurs, I will arrange for supportive care from an appropriate professional in your area.

If you have any questions at all about our study of the criteria and processes used to identify, evaluate, and communicate engagement management expectations for

university partnerships, please feel free to contact me, Frederick E. Powers at frederick.powers@gmail.com or my doctoral advisor, Dr. Cheryl D. Lovell, (cdlovell@rvu.edu). If the researchers cannot be reached, or if you would like to talk to someone other than the researcher(s) about; (1) questions, concerns or complaints regarding this study, (2) research participant rights, (3) research-related injuries, or (4) other human subjects issues, please contact Paul Olk, Chair, Institutional Review Board for the Protection of Human Subjects, at 303-871-4531, or you may contact the Office for Research Compliance by emailing du-irb@du.edu, calling 303-871-4050 or in writing (University of Denver, Office of Research and Sponsored Programs, 2199 S. University Blvd., Denver, CO 80208-2121).

Thank you again.

Frederick E. Powers, Doctoral Candidate
University of Denver, Morgridge College of Education

Appendix E

Modified Interview Questions

I would like to begin by asking a few questions that provide me with a perspective regarding how you and your outreach and engagement organization strategically plans and initiates its engagement activities. First, . . .

1. Describe the *process* you use to plan your outreach and engagement program strategy?
1. What *criteria* do you use to determine your organizational mission and priorities?
2. What *criteria* do you use to identify potential engagement or partnering opportunities with external entities?
3. What *criteria* do you use to identify potential external partners for outreach and engagement activities?
4. Describe the *process* that you use to initiate and build relationships with potential external partners?

The next set of questions will help me to better understand how you and your organization establish its social and philosophical ideals.

5. What *criteria* do you use to identify organizational values?
 - a. Describe the *process* that you use to collect and compile organizational values?
6. Describe the *process* that you use to align your outreach and engagement activities with the mission and priorities of the institution?

The next set of questions will help me to better understand how you and your organization identify the influences, internal and external to the academy, that motivate partnerships between a higher education institution and an entity external to the academy.

7. Describe the *process* that you use to identify and evaluate *internal* incentives and disincentives to a potential engagement or partnership endeavor?
 - a. What are some of those internal incentives?
 - b. What are some of those internal disincentives?

8. Describe the *process* that you use to identify and evaluate *external* incentives and disincentives to a potential engagement or partnership endeavor?
 - a. What are some of those external incentives?
 - b. What are some of those external disincentives?

The next set of questions will help to inform me how you and your organization identify and evaluate the potential costs, benefits, and alternatives of partnerships with an external entity.

9. Describe the *process* that you use to identify the anticipated costs and benefits of a potential engagement or partnership endeavor?
10. What *criteria* do you use to evaluate the anticipated costs and benefits of a potential engagement or partnership endeavor?
11. Describe the *process* you use to identify and evaluate alternative options for potential university engagement or partnering opportunities?

For the purpose of this study, partnership expectations are defined as a set of pre-established criteria that are used to determine anticipated outcomes, measure the success of an engagement activity, and to drive individuals' actions and decisions. The next set of questions are fashioned to provide me with information regarding how you and your organization identify and evaluate its partnership expectations (sometimes referred to as anticipated outcomes) to support engagement activities with entities external to the academy.

12. Describe the *process* that you use to identify partnership expectations for potential engagement activities?
13. What *criteria* do you use to evaluate partnership expectations for engagement activities?

The next set of questions are fashioned to provide me with information regarding other sources of data that I can gather to help me to better understand program engagement management during university engagement activities at your institution.

14. Are there any *documents* that I can review that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?
15. Are there any *events* that I could attend that will provide me with any insight as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?

16. Are there any other *individuals or groups* who you could recommend that might be able to provide another perspective as to how the institution identifies, evaluates, and/or communicates its program expectations for its external engagement activities?

Wrap up. . . .

17. Would you like to add any other comments before we close?

Thank you for taking the time to help me with my research.

Appendix F

Engagement Management: A Case Study of the Criteria and Processes Used to Identify, Evaluate, and Communicate Program Expectations for University Partnerships

Frederick E. Powers, Doctoral Candidate
University of Denver, Morgridge College of Education

Purpose of the Study

The purpose of this study is to gain a better understanding of (a) how a public, land-grant institutions systematically approaches the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.).

Primary research questions:

1. What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
2. What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- a. What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- b. What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

General Research Questions

1. How should today's university outreach and engagement staff strategically prepare for and approach the process of establishing partnerships and alliances with external entities?
2. Does the traditional culture of four-year research universities encourage entrepreneurial partnering with external entities?
3. How should university leaders assess the costs and benefits of engaging in external partnerships?

4. How are staff involved with engagement and outreach activities currently identifying and evaluating their program expectations?
5. What are the elements of a comprehensive list of program expectations?

Appendix G

Letter of Permission to Use Data

MEMORANDUM

DATE:

TO: Frederick E. Powers, Doctoral Candidate, University of Denver

FROM: Dr. Hiram Fitzgerald, Associate Provost, University Outreach and Engagement

Michigan State University
4660 South Hagadorn Road, Suite 620
East Lansing, MI 48823

SIGNATURE: _____

RE: PERMISSION FOR USE OF DATA/SAMPLES

TITLE: Engagement Management: A Case Study of the Criteria and Processes Used to Identify, Evaluate, and Communicate Program Expectations for University Partnerships

I have reviewed your research proposal and grant permission for you to use and analyze Michigan State University's, Office of Outreach and Engagement archival data samples expressly for the purpose of your dissertation research project titled: *A Case Study of the Criteria and Processes Used to Identify, Evaluate, and Communicate Program Expectations for University Partnerships*. I also grant permission for you to recruit employees of Michigan State University's, Office of Outreach and Engagement for the purpose of your research project.

It is understood that information gathered will be done in a confidential and appropriate manner and that no individually identifiable information, including images of subjects, will be published, shared, or otherwise disseminated.

Should you have any questions, please feel free to contact me.

Actual Letter of Permission to Use Data

November 16, 2013

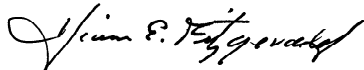
Fred Powers
6572 South Trailway Circle
Parker, Colorado 80134

Dear Fred:

The University Outreach and Engagement staff look forward to meeting with you in relation to your dissertation research. Because the staff frequently travels it will be important for you to work with Ms. Joyce Pinckney to make all visit arrangements. Ms. Pinckney has access to nearly everyone's calendar and will make every effort to assure that a maximum number of UOE folk are available when you visit. When you refer to our "data bases" I am assuming that you mean the Outreach Engagement Measurement Instrument. Burton Bargerstock is administratively responsible for access to that data base and you will have to work with him individually to gain access. If you wish to visit the UOE place-based sites in Detroit or attend any of the community networks that UOE is linked with, Joyce will again be the conduit to information about when such meetings and activities are scheduled to take place. I have appended a list of all of the UOE units and their administrative leaders in the event you wish to contact them. While you are on campus we will do our best to help you gain access to other individuals with whom you may wish to visit. Please keep in mind that when you move to provost and president levels, access to their extremely full schedules can be very difficult.

We look forward to your visit and to Michigan State University's participation in your dissertation research.

Sincerely,



Associate Provost, University Outreach and Engagement
and
University Distinguished Professor
Department of Psychology
Michigan State University

Editor in Chief: Infant Mental Health Journal

Office of Associate Provost for University Outreach and Engagement

University Outreach and Engagement (<http://outreach.msu.edu>)

Hiram Fitzgerald, Ph.D. Associate Provost (fitzger9@msu.edu)
Patricia Farrell, Ph.D. Assistant Provost (farrellp@msu.edu)

University-Community Partnership Support Units

Communication and Information Technology (<http://outreach.msu.edu/cit>)
Burton Bargerstock, M. A. Director (bargerst@msu.edu)

Community Evaluation Research Collaborative (<http://outreach.msu.edu/cerc>)
Laurie Van Egeren, Ph.D. Director (vanegere@msu.edu)

Gifted and Talented Education (Gate) <http://gifted.msu.edu>
Susan Sheth, M.A. Director
shethsus@msu.edu

National Collaborative for the Study of University Engagement (<http://ncsue.msu.edu>)
Burton Bargerstock, M.A. Director (bargerst@msu.edu)

MSU Usability/Accessibility Research and Consulting (<http://usability.msu.edu>)
Sarah Swierenga, Ph.D. Director (sswieren@msu.edu)

Julian Samora Research Institute (<http://jsri.msu.edu>)
Ruben Martinez, Ph.D. Director (Ruben.Martinez@ssc.msu.edu)

Center for Community and Economic Development (<http://ced.msu.edu>)
University Center for Regional Economic Innovation (<http://www.reicenter.org>)
Rex LaMore, Ph.D. Director (lamore@msu.edu)

Center for Service-Learning and Civic Engagement (<http://servicelearning.msu.edu>)
Renee Zientek, M.A. Director (zientekr@msu.edu)

Wharton Center for Performing Arts (<http://whartoncenter.com>)
MSU/FCU Institute for Art and Creativity
Michael Brand, B.A. Executive Director (mike.brand@whartoncenter.com)

Michigan State University Museum (<http://museum.msu.edu>)
Lora Helou, M.A. Associate Director (helou@msu.edu)

MSU Detroit Center (<http://detroitcenter.msu.edu>)
MSU-Detroit Partnerships at YouthVille Detroit (<http://youthville.msu.edu>)
Jena Baker Calloway, M.P.H. Director (bakerca9@msu.edu)

MSU Educational Program Initiatives
Diane Doberneck, Ph.D. Assistant Director, NCSUE

Inter-Tribal Council of Michigan Partnership and National AI/AN Training Center
Patricia Farrell, Ph.D., Assistant Provost; Jessica Barnes, Ph.D. Associate Director
barnes33@msu.edu

Strategic Doing Community Action Initiatives

Robert Brown, M. P. A., Associate Director Partnerships

Brownr23@msu.edu

Systemic Engagement Faculty Seminar

Miles McNall, Ph.D. Associate Director, CERC

mcnall@msu.edu

Appendix H

Research Abstract

Author: Frederick E. Powers

Title: ENGAGEMENT MANAGEMENT: A CASE STUDY OF THE CRITERIA AND PROCESSES USED TO IDENTIFY, EVALUATE, AND COMMUNICATE PROGRAM EXPECTATIONS FOR UNIVERSITY PARTNERSHIPS

Advisor: Cheryl D. Lovell

Abstract

Over the years, American public university outreach and engagement programs and activities have been defined and managed in many different ways and at varying levels within the institutions. Some universities clearly define complex outreach and engagement objectives and visions in their mission and throughout the fabric of the institution; while other university's outreach and engagement objectives and visions are less refined and not as evident to the casual observer (Bonnen, 1998). Albeit much has been studied and developed in terms of establishing and managing a university's outreach activities, very little research has been conducted with respect to the social, procedural, and collective process of engagement—the two-way social interaction and consensus-building between academia and their external partners. More specifically, there appears to be a gap in the knowledge regarding the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations (engagement management) that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.).

This instrumental case study will examine one public, land-grant university outreach and engagement organization and the criteria and processes staff use to identify, evaluate, and communicate the program expectations (philosophical ideals, internal and external influences, costs and benefits, and potential alternatives) of planned engagement activities or potential partnerships with external entities. One objective of this study is to examine how university engagement staff approach the process of building relations with potential partners that are external to the institution. Furthermore, to examine the criteria and processes used by university engagement staff to establish program expectations for

potential engagement activities and partnerships. Another objective of this study is to provide recommendations—based on best practices—with respect to how university engagement staff may build partnering relations by identifying, evaluating, communicating program expectations prior to establishing a formal partnership with entities external to the institution.

Appendix I

General Overview of Research

Engagement Management: The Criteria and Processes Used to Identify, Evaluate, and Communicate Program Expectations for University Partnerships

Frederick E. Powers – Doctoral Candidate, University of Denver

Statement of Purpose:

The purpose of this study is to gain a better understanding of (a) how a public, land-grant institution systematically approaches the collective processes of building relationships with external entities (partners), and (b) the criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.). This study will primarily examine engagement activities that involve a two-way commitment of time and resources from all involved partners. Other than in grounded reference, this study will not delve deeply into the topic of university outreach (a one-way extension of the university). However, many recommendations may be applied to both outreach and engagement activities.

The intent of this study is to provide university staff who are involved in engagement activities with recommendations and “best practices” with respect to the criteria and processes used to identify, evaluate, and communicate program expectations in support of relationship building efforts during the development of a partnership or collaborative venture with an entity external to the institution. Finally, part of this study will examine how university engagement staff identify and evaluate the tangible and intangible costs and benefits of potential university partnerships; however, this study will not delve into the specific process of risk analysis.

Research Procedures:

It is estimated that the researcher visit the participating campus three times over a two- to three-month period. If at all possible, at least one visit should be scheduled around a strategic planning event that is conducted by the sample organization. This will allow the researcher to examine the deeper subtleties of the organization as well as permit time between visits to compile and digest data and information. During the visits, the researcher will interview a minimum of ten to twelve people from the selected institution—some people may be interviewed multiple times over the course of three visits. It is estimated that each interview will take approximately 90 minutes.

During each one-week visit, approximately three days will be required for interviews and two days for data collection from other data sources. Initially, letters will be sent to leading representatives of the organization explaining the nature of the research

and requesting his/her organization's participation in the study. A follow-up telephone call will be made with the program leader to discuss the intent of the research, request the participation of the staff in the outreach and engagement department, inquire about additional participants, request that he/she introduce the research effort to the staff, and establish dates to visit the campus.

Letters will be sent to all volunteer participants requesting to schedule a 90-minute interview during the researcher's visit to the campus. A sample of the interview questions and an Informed Consent Form will be sent to the interviewee prior to the interview. Telephone calls will be made to each participant to schedule and verify meeting/interview times and locations during the week of the visit to the campus.

In addition to pre-planned questions, the researcher will reserve the right to ask open-ended indirect questions that may arise during the interview. The intent of the interview will be to focus on the lived experiences of the participants seeking to obtain open and rich descriptions of the participants' experiences and their interpretation of program criteria and processes. The researcher will solicit descriptions of specific situations and action sequences, avoiding generalizations and sweeping statements; however, observe any ambiguities that may reflect contradictions and inconsistencies. The aim is to invoke a positive interview experience that allows the interviewee to provide a well-balanced and carefully accurate account of events, impressions, experiences, and decisions about the criteria and processes staff use to identify, evaluate, and communicate the program expectations for planned engagement activities or potential partnerships with external entities. With the consent of the interviewee, the researcher will record and transcribe all discussions. To add an element of member checking or respondent validation, all interviewees will be provided an opportunity to review, comment on, and/or correct any transcriptions made of their particular interview—whether word-for-word if recorded, or a synopsis of the discussion if they are not comfortable with recording the interview. Following the pre-established questions researcher will ask the interviewee if they have any other comments they may want to add that may assist with the research. The researcher will also ask the interviewee if there are any other people that he/she should interview who could provide him/her with a different perspective or deeper and richer account of events or activities about the research topic. Finally, the researcher will ask the interviewee if there are any documents that he/she can access that may assist with the research. The researcher will make suggestions as to the types of documents that may be available (e.g., memorandums, emails, historical files, records, minutes, etc.).

Recruitment:

Purposeful sampling will be used to select key participants who were or are involved with the outreach and engagement organization. Snowball or chain sampling will be used to identify information-rich key informants and critical cases. Data will be collected from participants and staff who are involved with the institution's outreach and engagement activities. Interviews will be conducted with departmental leaders, staff, and

faculty who are involved with the development and maintenance of university partnerships with external entities. In addition to asking the standard questions of inquiry, the interviewer will ask whether there are others that can be referred to for more in-depth information (closer to a primary resource).

Other data sources will include emails, minutes of meetings, memorandums of agreement/understanding, presentations, web-based documents, historical files, records, artifacts, and any other documents that are pertinent and can contribute to the research. The researcher will also seek opportunities to attend specific meetings that may address or shed light on the research subject (i.e., strategic planning meetings, etc.).

Consent Process:

All interviewees will be provided an interview consent form (attached). The principle investigator will provide a sample of the interview questions and an Informed Consent Form to the interviewees prior to the interview. With the consent of the interviewee, the researcher will record and transcribe all discussions. To add an element of member checking or respondent validation, all interviewees will be provided an opportunity to review, comment on, and/or correct any transcriptions made of their particular interview—whether word-for-word if recorded, or a synopsis of the discussion if they are not comfortable with recording the interview.

Subject Population:

Data will be collected from documents and interviews with individuals and participants involved in outreach and engagement activities at Michigan State University. Penn State University followed by Oregon State University will be solicited for participation if the primary university is not available to participate in the study. The focus of the interviews will be on the primary decision-makers and other participating individuals who were or are involved with the planning of university engagement activities and establishment of partnerships between the university and external entities. This will provide the researcher with a varied perspective of the organizational structure, events, politics, and decisions that occur during the planning and establishment of partnerships between the university and external entities.

Privacy and Confidentiality & Data Collection:

Researcher notes and recordings will be compiled and electronically organized in a format that can be analyzed using QSR NVivo qualitative data analysis software. Access to the database will be password protected following recommendations established by the University of Denver's Technology Services (UTS) password/passcode policy. All electronic/digital recordings, files, notes, and subject identifiers will be stored securely on a password protected, stand-alone network. Hard copy data that is collected will be stored in a locked and secure location accessible only to the primary investigator. Only data pertinent to the study will be collected or recorded.

Communication and documents that are transmitted via a public network will be encrypted to ensure security of information. No individually identifiable information, including images of subjects, will be published, shared, or otherwise disseminated. All subject identifiers will be removed and/or destroyed as they are no longer needed. Any unanticipated breach of confidentiality of the research data will be reported to the University of Denver's Institutional Review Board within 30 days of becoming aware of the event.

Risks:

Potential risks of being involved in any study include the possibility that discussing certain issues about your experience may be upsetting. If this occurs, I will arrange for supportive care from an appropriate professional in the subject's area.

Benefits:

The benefits of being involved in this study include gaining a better understanding of how university outreach and engagement organizations apply strategic approaches to program engagement management during the development of partnerships with entities external to the academy. Subjects may also enjoy the ability to provide information about their own experiences.

Appendix J

Letter of Permission to Attend Meeting

Mr. Frederick Powers has requested to attend our conference planning committee meeting this Friday at 9:00 a.m. Mr. Powers is currently a doctoral candidate at the University of Denver conducting dissertation research with respect to how university engagement staff interact and build relations with partners external to the academy. He would like to observe our meeting to better understand our strategic planning and processes. His presence at our meeting is voluntary and participant anonymity will be respected in any final research reports or documents. For more information about Mr. Powers's research, you may contact him at [frederick.powers@xxxx.com] or [555-555-5555].

Appendix K

Michigan State University Interview Participants

Jena Baker-Calloway, Director, MSU Detroit Center

Burton A. Bargerstock, Director, National Collaborative for University Engagement

Jessica V. Barnes-Najor, Associate Director, University-Community Partnerships

Michael Brand, Executive Director, Wharton Center for Performing Arts

Robert Brown, Associate Director Partnerships, Strategic Doing Community Action Initiatives

Diane M. Doberneck, Research Specialist, National Collaborative for the Study of University Engagement

Laurie Van Egeren, Assistant Provost, University-Community Partnerships

Hiram Fitzgerald, Associate Provost, University Outreach and Engagement

Rex, LaMore, Director, Center for Community and Economic Development

Rubèn Martinez, Director, Julian Samora Research Institute

Miles McNall, Director, Community Evaluation and Research Center

Sarah J. Swierenga, Director, Usability/Accessibility Research and Consulting

June Pierce Youatt, Provost, Michigan State University

Renee Zietek, Director, Center for Service-Learning and Civic Engagement

Appendix L

Introductory PowerPoint Presentation

A CASE STUDY OF THE CRITERIA AND PROCESSES USED TO
IDENTIFY, EVALUATE, AND COMMUNICATE PROGRAM
EXPECTATIONS FOR UNIVERSITY PARTNERSHIPS

FREDERICK E. POWERS

University of Denver, Morgridge College of Education

4 February 2014

PURPOSE OF THE STUDY

- To gain a better understanding of:
 - How higher education institutions systematically approach the collective processes of building relationships with external entities (partners), and
 - The criteria and processes that university engagement staff use to identify, evaluate, and communicate program expectations that support its engagement activities with external entities (individuals, groups, organizations, businesses, etc.).
- This study will primarily examine engagement activities that involve a two-way commitment of time and resources from all involved partners.
- To provide university staff who are involved in engagement activities with recommendations and “best practices.”
- Part of this study will examine how university engagement staff identify and evaluate the tangible and intangible costs and benefits of potential university partnerships; however, this study will not delve into the specific process of risk analysis.

RESEARCH QUESTIONS

Primary research questions:

- What criteria do university engagement staff use to identify, evaluate, and communicate program expectations?
- What processes do university engagement staff use to identify, evaluate, and communicate program expectations?

Secondary research questions:

- What criteria and processes do university engagement staff use to identify and evaluate the costs and benefits of a potential engagement activity or partnership with an entity external to the academy?
- What criteria and processes do university engagement staff use to identify and evaluate philosophical ideals (values, mission, and priorities)?

RESEARCH SETTING/CONTEXT

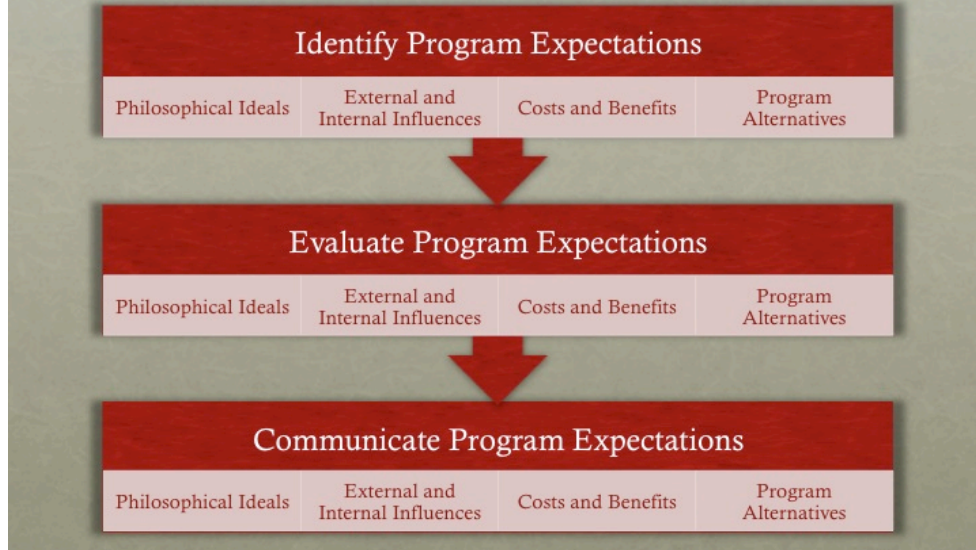
Michigan State University was selected based on the following criteria:

- The university has an established outreach and engagement organization with multiple staff dedicated to providing outreach and engagement services.
- The outreach and engagement department conducts and manages a variety of engagement activities and programs with entities internal and external to the university.
- The outreach and engagement organization is an integral part of the university providing outreach *and* engagement services for the entire institution.
- The institution is a public or land-grant university.

DATA COLLECTION

- Voluntary interviews with participants
 - With the consent of the interviewee, the researcher will record and/or transcribe all discussions
 - All interviewees will be provided an opportunity to review, comment on, and/or correct any transcriptions
 - Participant's rights will be protected and all research will conform to the conventions of research ethics and the Institutional Review Board (IRB) process
- Other sources
 - Pertinent documents
 - Archived records
 - Emails
 - Memorandums of agreement or understanding
 - Meeting minutes
 - Mission statements
 - Planning documents
 - Other writings
- Researcher notes
 - Personal, methodological, and theoretical notes and memos for the record
 - Summary of substantive and theoretical ideas
 - Things that may have happened during the interview (e.g., participant's comfort level, sequence of questions, etc.)

ENGAGEMENT MANAGEMENT



ASSUMPTIONS

This conceptual model, incorporating some of the principles common to RCT and SET, makes the following assumptions:

- University engagement programs and activities should be grounded with a clear set of established program expectations.
- Program expectations for the engagement activity are identified, evaluated, and communicated based on criteria gathered from at least four primary components or elements: (a) philosophical ideals; (b) external and internal influences; (c) tangible and intangible costs and benefits; and (d) program alternatives.
- Relationship building (and maintenance) is essential to the success of university engagement activities with an external entity.
- Clearly communicating and benchmarking program expectations is essential to the success of relationship building and the partnership.

DATA ANALYSIS

- Researcher notes and recordings will be compiled and electronically organized in a format that can be analyzed using NVivo qualitative data analysis software (*see handouts*)
 - All electronic/digital, recordings, files, and notes will be stored securely on a password protected, stand-alone network
- Content analysis will be used to analyze the data for themes, commonalities, canons, criteria, and processes
 - Holistic approach focusing on criteria and processes
 - Relationships
- Restate the questions
- Methods used to interview and review documents
- Potential flaws in the methods
- Information about how he/she collected the data, analysis techniques, and significant observations and events that were identified
- Examples of successes, disappointments, and the illumination of issues and themes identified during the research
- Conclusions will include:
 - recommendations founded on best practices,
 - conflicting or confirming findings or observations, and
 - suggestions for further research.

QUESTIONS?

Appendix M

Elements of Engagement Management

IDENTIFY	
ELEMENT	CRITERIA
PHILOSOPHICAL IDEALS	Independent Values <ul style="list-style-type: none"> • Mission of the university • Core values of the university Immanent Values <ul style="list-style-type: none"> • Personal or idiosyncratic values
INTERNAL AND EXTERNAL INFLUENCES	Internal Influences <ul style="list-style-type: none"> • Scholarship • Promotion and tenure • Social capital • Resource capital External Influences <ul style="list-style-type: none"> • Social capital • Resource capital
COSTS AND BENEFITS	<ul style="list-style-type: none"> • Alignment with strategic imperatives • Pertinent social issues • Affected external audience • Impact on external audience • Research methods • Internal partners • Personnel time • Non-university partners • Duration of partnership • Scholarship opportunities • External funding • In-kind funding • Intellectual property • Evaluation process
PROGRAM ALTERNATIVES	<ul style="list-style-type: none"> • Alternative partners • Alternative approach to problem or issue • Alternative approach to scholarship • Level of risk • Sustainability

EVALUATE	
ELEMENT	CRITERIA
PHILOSOPHICAL IDEALS	<ol style="list-style-type: none"> 1. Will the engagement activity support the core values and imperatives of the <i>university's</i> strategic framework? If so, in what ways? 2. Will the engagement activity support the mission of department or unit? If so, in what ways? 3. Will the engagement activity increase scholarship—the generation, transmission, application, and preservation of knowledge? If so, in what ways? 4. Will the engagement activity support the reputation and/or prestige of the institution? If so, in what ways?
INTERNAL AND EXTERNAL INFLUENCES	<ol style="list-style-type: none"> 1. Will the engagement activity support the core values and imperatives of the <i>university's</i> strategic framework? If so, in what ways? 2. Will the engagement activity support the mission of department or unit? If so, in what ways? 3. Will the engagement activity increase scholarship—the generation, transmission, application, and preservation of knowledge? If so, in what ways? 4. Will the engagement activity support the reputation and/or prestige of the institution? If so, in what ways?
COSTS AND BENEFITS	<ol style="list-style-type: none"> 1. What is the specific purpose of the engagement activity? 2. Will the engagement align with the university's strategic imperatives? If so, which imperatives? 3. Will the engagement activity address societal issues? If so, what issues? 4. Will the engagement activity impact an external audience? If so, in what way? 5. What scientific or research methods will be used? 6. Will the engagement activity require involvement of internal partners, units, and/or students? If so, who? 7. How much personnel time will the engagement activity require? 8. Who will be the non-university partners and participants? 9. What is the anticipated duration of the engagement activity? 10. Will the engagement activity produce scholarship? If so, in what way? 11. Will external funding be available for this engagement activity? If so, how much and from where? 12. Will the non-university partner(s) provide in-kind support? If so, in what form and how much? 13. Will the engagement activity produce intellectual property? If so, what type?

	14. Will the engagement activity be evaluated? If so, how?
PROGRAM ALTERNATIVES	<ol style="list-style-type: none"> 1. Are there alternative partners who would be more committed to the engagement activity? If so, who? 2. Is there an alternative way to approach the issue or problem? If so, how? 3. Is there an alternative approach to the scholarship? If so, in how? 4. Is there an alternative approach to the engagement activity that would reduce the risk? If so, how? 5. Will the engagement activity be sustainable if the partnership disbands? If so, how?

COMMUNICATE	
ELEMENT	CRITERIA
PHILOSOPHICAL IDEALS	<ul style="list-style-type: none"> 5. Activity's support of university's values and strategic mission. 6. Activity's support of unit's mission. 7. Activity's support of scholarship. 8. Activity's support of university's reputation and prestige.
INTERNAL AND EXTERNAL INFLUENCES	<ul style="list-style-type: none"> 5. Opportunities for scholarship. 6. Effects of the engagement activity on promotion and tenure. 7. Effects of the engagement activity on the university's social capital. 8. Effects of the engagement activity on the university's resource capital.
COSTS AND BENEFITS	<ul style="list-style-type: none"> 14. Activity's alignment with university's strategic imperatives. 15. Societal issues addressed. 16. Impact on external audience. 17. Type of scholarship produced. 18. Scientific or research methods to be used. 19. Involvement of internal partners, units, and/or students. 20. Amount of personnel time required. 21. Non-university partners and participants. 22. Duration of the engagement activity. 23. External funding. 24. In-kind funding. 25. Intellectual property. 26. Evaluation of the engagement activity.
PROGRAM ALTERNATIVES	<ul style="list-style-type: none"> 5. Opportunities for scholarship. 6. Effects of the engagement activity on promotion and tenure. 7. Effects of the engagement activity on the university's social capital. 8. Effects of the engagement activity on the university's resource capital.